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Succession planning in the United Nations system organizations

Note by the Secretary-General

The Secretary-General has the honour to transmit to the members of the General Assembly the report of the Joint Inspection Unit entitled "Succession planning in the United Nations system organizations".

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JIU/REP/2016/2

SUCCESSION PLANNING IN THE UNITED NATIONS SYSTEM ORGANIZATIONS

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Geneva 2016

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Executive Summary

Succession planning in the United Nations system organizations JIU/REP/2016/2

The objectives of this system-wide review are to: (a) follow up and assess the progress made in developing a framework for a succession planning strategy and implementing relevant policies; (b) identify succession planning challenges and propose solutions; (c) identify and disseminate best/good practices; and (d) propose benchmarks for succession planning.

Main findings and conclusions

Lack of formal succession planning across the United Nations system

- The review revealed that succession planning, important as it is, is not a priority in any United Nations system organization. However, the alarming demographics in most of the organizations across the system do not allow them the luxury to wait any longer. The organizations have to expedite their succession planning. This will enable them to prevent potential loss of institutional memory and interruption of knowledge transfer and business continuity in their leadership positions and other crucial functions.
- Succession planning will soon be added to the revised Framework for Human Resources Management of the International Civil Service Commission (ICSC). Its addition to the framework, which is intended to form the basis of all organizations' work on human resources policies and procedures, reaffirms succession planning as one of the framework's important components for effective human resources management across the system.
- The Inspector found that at present, no United Nations system organization has a formal succession planning process in place.
- Hence, the review mapped the elements of the existing informal succession planning processes that are in line with the framework proposed in 2009 by the secretariat of the United Nations System Chief Executives Board for Coordination (CEB), in response to a relevant recommendation issued in 2007 by the Joint Inspection Unit (JIU).

Lack of a system-wide definition and stalemate at inter-agency level

- The Inspector found that the United Nations system organizations have not yet adopted any definition of succession planning, either at the organizational level or system-wide. Therefore, the review endorsed a definition of succession planning that is widely used in the international public sector, including the description of the basic steps involved in the process. Against that definition and process description, which are elaborated on in the introduction to the present report, the review examined whether and to what extent the United Nations system organizations implement succession planning in practice.

- In parallel, the review assessed the progress made in the system-wide discussions on succession planning that were initiated in 2009 in the framework of the CEB High-Level Committee on Management (HLCM) Human Resources Network. The Inspector regrets that the discussions were discontinued, resulting in a lack of progress at inter-agency level for more than six years now. Therefore, the Inspector recommends that the members of the Network consider the introduction of succession planning in the course of 2016 as a new, indispensable component of the revised ICSC Framework for Human Resources Management, as indicated above. The Inspector also invites the members of the CEB/HLCM Human Resources Network to restore the dialogue and exchange of ideas and good practices in the framework of the Network.

Benchmarks

In recognition of the fact that staff members are their most vital asset, the United Nations system organizations have to recognize the importance of the people who lead and manage this asset as well as the importance of those who discharge critical functions that have an impact on all staff. For the proper implementation of succession planning, the Inspector suggests the application of five benchmarks based on leading practices in the private and public sectors:

1. Formal succession planning is instituted with due regard to the organization's needs, taking into consideration its mission, its mandate and the nature of its work.

2. The organization adopts a holistic approach, integrating its formal succession planning and management into its overall human resources management activities.

3. The organization establishes by the best means at its disposal its current critical roles and positions, as well as the competencies required for those key roles and positions, and plans for their future revision/identification with more sophisticated means, requesting the appropriate funding.

4. The organization reviews by the best means at its disposal its current talent to identify staff members who have the potential to be considered for and take over key roles and positions immediately or shortly after some additional preparation.

5. The organization communicates in a transparent way the staff development and career path requirements for staff members to be considered as potential candidates for succession to critical roles and positions; the organization provides staff members who are identified as potential talent with learning and development opportunities that will allow them to fulfil the responsibilities of those roles and positions.

Recommendations

Recommendation 1

The legislative/governing bodies of the United Nations system organizations should exercise their oversight role and examine the causes for the lack of, and/or the delay in, the introduction of formal succession planning in their respective organizations, including the adequacy of current funding; and request the executive heads of these organizations to develop formal succession planning without any further delay, by the end of 2017.

Recommendation 2

The executive heads of the United Nations system organizations, who have not yet done so, should instruct their human resources management offices to develop and implement appropriate frameworks for succession planning strategies, and devise appropriate guidelines on the succession planning process without any further delay, by the end of 2017.

Recommendation 3

The executive heads of the United Nations system organizations should instruct their human resources management offices to adopt the benchmarks set out in the present report with a view to ensuring that their organizations have a sound succession planning process, and should report on the progress made to their legislative/governing bodies.

Recommendation 4

The Secretary-General of the United Nations, in his capacity as Chair of the United Nations System Chief Executives Board for Coordination, should ensure that succession planning is reinstated as a main agenda item of the Human Resources Network of the High-level Committee on Management, and given the utmost attention and most serious consideration in the future sessions of the Network.

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Abbreviations and acronyms

AHRMIO	Association for Human Resources Management in International Organizations
CEB	United Nations System Chief Executives Board for Coordination
CIPD	Chartered Institute of Personnel and Development
CMS	Chief Mission Support
DDMS	Deputy Director Mission Support
DFS	Department of Field Support
DM	Department of Management
DMS	Director Mission Support
DOCO	Development Operations Coordination Office
FAO	Food and Agriculture Organization of the United Nations
HLCM	High-Level Committee on Management
HRM	Human Resources Management
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organization
ICSC	International Civil Service Commission
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
IMO	International Maritime Organization
IPMA-HR	International Public Management Association for Human Resources
ISO	International Organization for Standardization
ITC	International Trade Centre
ITU	International Telecommunication Union
JIU	Joint Inspection Unit
MSD	Medical Services Division
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OECD	Organization for Economic Cooperation and Development
OHRM	Office of Human Resources Management
OIOS	Office of Internal Oversight Services
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office for Project Services
UNPAN	United Nations Public Administration Network
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UNSSC	United Nations System Staff College
UN-Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNWTO	World Tourism Organization
UPU	Universal Postal Union
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization
WTO	World Trade Organization

I. Introduction

1. As part of its programme of work for 2015, the Joint Inspection Unit (JIU) conducted a review of succession planning in the United Nations system organizations. The review was suggested by the Audit Committee of the World Food Programme (WFP)[1] and supported by the JIU findings, which indicated that a considerable number of senior staff in many United Nations system organizations were going to retire without effective leadership succession and knowledge transfer having been planned.[2]

2. More specifically, at the end of 2014, the JIU report on the use of retirees and staff retained beyond the mandatory age of separation at United Nations organizations found that, in general, the organizations had no comprehensive workforce/succession planning policies or practices.[3] Moreover, the annual report of the International Civil Service Commission (ICSC) revealed that few organizations of the United Nations system had in place succession planning frameworks.[4] The overall situation has not improved, despite the particular concern organizations have been openly expressing since 2010 over the unprecedented number of staff members, especially senior staff, who would be retiring by 2015.[5] However, with a globally ageing workforce, a growing shortage of skilled talent, and increasing career mobility, succession planning has become critical to organizational success.

3. The JIU Inspectors have recommended since 2007 that executive heads of the United Nations system organizations should request the secretariat of the United Nations System Chief Executives Board for Coordination (CEB), through the Human Resources Network of its High-Level Committee on Management (HLCM), to include succession planning on the agenda for in-depth discussion at its regular meetings, with a view to developing policies and a framework for succession planning for adoption by the United Nations system.[6]

4. Succession planning is a crucial component of workforce planning. The International Public Management Association for Human Resources (IPMA-HR) has defined the process,[7] and the International Personnel Management Association suggests that "workforce planning addresses the staffing implications of strategic and operational plans, including managed movements of employees in, out and within an organization".[8] The ICSC Framework for Human Resources Management, developed in 2000,[9] foresees such planning using the term "human resources planning", without any reference to "succession planning". However, the term

[1] According to the WFP Audit Committee Chair's statement, it is estimated that more than 20 per cent of senior staff members of WFP will retire in the next five years.

[2] See JIU/NOTE/2014/1, para. 112; JIU/REP/2012/6, para. 91; CEB/2010/HLCM/HR/33, para. 1.

[3] See JIU/NOTE/2014/1, para. 107 and footnote 58.

[4] See the report of the International Civil Service Commission for the year 2014 (A/69/30), para. 111.

[5] See CEB/2010/HLCM/HR/33, para. 11.

[6] See the JIU report entitled "Age structure of human resources in the organizations of the United Nations system" (A/62/628), p. 14, recommendation 6.

[7] See http://ipma-hr.org/hr-resources/hr-management-glossary#17.

[8] International Personnel Management Association, *Workforce Planning Resource Guide for Public Sector Human Resource Professionals* (Alexandria, VA, 2002), p. vi.

[9] ICSC, "A Framework for Human Resources Management" (2001). Available from http://icsc.un.org/resources/hrpd/hrm/ICSC_hrm_eng.pdf.

"succession planning" appears in several ICSC studies and reports issued in recent years.[10]

5. In the public sector, a worldwide e-mail survey of current public service employees conducted in 2014 by IPMA-HR research staff on talent management benchmarking indicated that "just over a quarter of the respondents' organizations have succession plans (27 per cent) [...] Eight out of 10 practitioners identified the following components as key to any succession plan: 'developing employees' (84 per cent), 'identification of key positions' (80 per cent) and 'identification of high-potential employees' (76 per cent)".[11] However, many national public administrations that are members of IPMA-HR have already embedded succession planning within their broader planning processes.[12]

A. Objectives, scope and methodology

6. The objectives of the review are to: (a) follow up and assess the progress made in developing a framework for a succession planning strategy and implementing relevant policies; (b) identify succession planning challenges and propose solutions; (c) identify and disseminate best/good practices; and (d) propose benchmarks for succession planning.

7. The review is system-wide covering the United Nations, its funds and programmes, its specialized agencies and the International Atomic Energy Agency (IAEA), at headquarters' level as well as selected established duty stations away from headquarters.

8. In accordance with the internal standards and guidelines of JIU and its internal working procedures, the methodology followed in preparing the present report included the preparation of terms of reference and an inception paper based on a preliminary desk review of available documentation, questionnaires and interviews, as well as in-depth analysis of information gathered through a combination of quantitative and qualitative methods. Detailed questionnaires were sent to all 28 participating organizations that have accepted the JIU statute. Four participating organizations, the United Nations Conference for Trade and Development (UNCTAD), the United Nations Environment Programme (UNEP), the United Nations Human Settlements Programme (UN-Habitat) and the United Nations Office on Drugs and Crime (UNODC) did not respond, as they are covered by the response of the United Nations Secretariat, since these organizations follow the policies of the Secretariat in this subject matter.

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[10] See, for example, A/69/30, A/68/30 and ICSC/75/R.4.

[11] IPMA-HR, "2014 benchmarking report: talent management", p. 1.

[12] See, for example, Wor' force Planning Team, Civil Service HR Directorate, Department of Public Expenditure and Reform, Ireland, "Guidelines: a workforce planning framework for the civil service and non-commercial State bodies", p. 54, appendix 5; Office of Personnel Management (OPM), United States of Amerca, see: www.opm.gov/services-for-agencies/work-force-succession-planning/; Public Service Secretariat, Government of Newfoundland and Labrador, Canada, "Succession planning and management guide" (April 2008), see: www.exec.gov.nl.ca/exec/hrs/publications/succession_planning_and_management_guide.pdf; Government of New Brunswick (GNB), Canada, "GNB succession planning guide", see: http://www2.gnb.ca/content/dam/gnb/Departments/ohr-brh/pdf/cdi/succession_planning_guide-e.pdf.

9. On the basis of the responses received, the Inspector conducted interviews with human resources and other officials and with staff representatives of most participating organizations in New York, Copenhagen, London, Paris, Rome, Vienna, Bern and Geneva. The Inspector also sought the views of experts on the subject matter in ICSC, other international organizations,[13] specialized institutions and non-profit entities,[14] as well as companies in the private sector in Geneva, Vevey, Brussels, London, Paris, Alexandria and Washington D.C.[15] Comments on the draft report were sought from the participating organizations and taken into account in finalizing the report.

10. The review sought replies to the following key questions concerning the relevance, effectiveness and efficiency of existing succession planning initiatives:

(a) Do United Nations system organizations have in place succession planning strategies, action plans, frameworks, policies and tools? What is the place of succession planning in the overall workforce planning and human resources management strategy of the organization? Are succession plans designed in a way that takes into account such factors as gender, geography and diversity?

(b) How effectively have United Nations system organizations implemented their succession planning strategies, action plans, frameworks and policies? How effectively do the United Nations system organizations use the succession planning tools at their disposal? How effectively do the United Nations system organizations use succession planning to ensure transfer of knowledge and institutional memory? How effectively do the United Nations system organizations use succession planning to manage continuity in senior and key posts/functions? How effectively do the United Nations system organizations develop, train and prepare their staff to succeed and fill senior and key posts of departing staff members? What are the major challenges in implementing effective succession planning and how can they be overcome?

(c) How efficiently do United Nations system organizations identify key posts and competencies? How efficiently do United Nations system organizations formulate and implement training and development programmes for staff members in order to prepare them to take over senior and key posts?

11. In accordance with article 11, paragraph 2, of the JIU statute, the present report has been finalized after consultation among all the Inspectors so as to test the conclusions and recommendations being made against the collective wisdom of the Unit.

12. To facilitate the handling of the report, the implementation of the recommendations it contains and the monitoring thereof, annex IV contains a table indicating whether the report is submitted to the organizations concerned for action

[13] The other international organizations were the European Bank for Reconstruction and Development, the Directorate-General for Human Resources and Security of the European Commission, the International Fund for Agricultural Development (IFAD), the International Monetary Fund, the International Organization for Standardization (ISO), the Organisation for Economic Co-operation and Development (OECD), the World Bank Group and the World Trade Organization (WTO).

[14] The non-profit entities were the Association for Human Resources Management in International Organizations (AHRMIO), the Center for Creative Leadership and the International Public Management Association for Human Resources (IPMA-HR).

[15] Nestlé and PricewaterhouseCooper.

or for information. The table identifies the recommendations that are relevant for each organization, specifying whether they require a decision by the organization's legislative or governing body or can be acted upon by the organization's executive head.

13. The Inspector wishes to express his appreciation to all who assisted him in the preparation of the report, particularly those who participated in the interviews and who so willingly shared their knowledge and expertise.

B. Definitions

14. For the purpose of this review, JIU endorses the following definitions,[16] which were adopted by IPMA-HR, which is also a member of the Association of Human Resources Management in International Organizations (AHRMIO):[17]

> **Succession Planning** is the process of:
>
> (a) pinpointing key needs for intellectual talent and leadership throughout the organization over time; and
>
> (b) preparing people for present and future work responsibilities.
>
> **Workforce Planning** is the strategic alignment of an organization's human capital with its business direction. It is a methodical process of analysing the current workforce; determining future workforce needs; identifying the gap between the present and the future; and implementing solutions so that the organization can accomplish its mission, goals, and objectives.

15. According to IPMA-HR, most succession planning programmes are comprised of three steps:

> **Basic steps of succession planning**
>
> (a) The agency makes an organizational projection in which it anticipates management needs based on planned contraction or expansion factors, as well as workforce trends;
>
> (b) Existing management talent is identified and management replacement charts are drawn up to summarize potential candidates for each of the available slots, as well as each person's training and development needs;
>
> (c) Candidates are given the necessary training required for them to perform the job that needs to be filled.

16. This succession planning concept reflects an integrated holistic approach, which marries efforts to manage the supply, calibre and competencies of leaders

[16] International Personnel Management Association, *Workforce Planning Resource Guide for Public Sector Human Resource Professionals* (Alexandria, VA, 2002), pp. 15-16.

[17] AHRMIO facilitates networking in the international organization community. Its members include the United Nations, UNDP, UNFPA, UNHCR, UNRWA, UN-Women, WFP, FAO, IAEA, IMO, ITU, UNAIDS, UNIDO and WHO. See www.ahrmio.org.

with broader efforts to manage the organization's human capital. Succession planning is a process that informs and is informed by many other talent management functions. The Chartered Institute of Personnel and Development (CIPD) defines talent management as follows:[18]

> **Talent management** is the systematic attraction, identification, development, engagement, retention and deployment of those individuals who are of particular value to an organization, either in view of their 'high potential' for the future or because they are fulfilling business/operation-critical roles.

17. Talent in this concept is associated with the unique roles and competencies that are critical to success. In almost any organization one can identify a small group of high performers whose loss would severely affect the organization's survival. This is how succession planning is connected to talent management: without succession planning, a potential vulnerability to talent loss becomes an unacceptable risk. The United Nations Public Administration Network (UNPAN) also links these two processes.[19]

18. Succession planning may involve hiring talented individuals from outside the agency or training current staff by identifying high potential employees. This is often described as the "make or buy" decision. It is likely that any employer will need to use a combination of efforts. Training and career development are important aspects of "making" talent. This means that the entire succession planning process must take this aspect into account.[20]

> **Bench strength** refers to the capabilities and readiness of potential successors to move into key professional and leadership positions.

19. The above term, which comes from sports, is critically important because organizations continuously go through turnover, restructuring and changes in business strategy. Whenever a person leaves his or her critical position, function or role, "(whether in leadership, management or line operations), the organization should have a "ready successor" or plan for replacement in order to avoid business interruption".[21] In the present report, the term will be used alternately with the terms "pipeline" or "pool", widely used by practitioners of, and in the theory of, human resources management.

[18] CIPD, "Talent management: an overview" (factsheet updated August 2015). See: www.cipd.co.uk/hr-resources/factsheets/talent-management-overview.aspx.

[19] See http://workspace.unpan.org/sites/internet/Documents/UNPAN94162.pdf, http://unpan1.un.org/intradoc/groups/public/documents/un/unpan037380.pdf, p. 9.

[20] See IPMA-HR, "Thirty-third international symposium on public personnel management, summary report, p. 9.

[21] Bersin by Deloitte online Lexicon. See http://www.bersin.com/Lexicon/Default.aspx.

II. Normative framework

A. United Nations system framework for a succession planning strategy

20. Based on the findings of a JIU review in 2007, the Inspectors recommended that the executive heads of the United Nations system organizations should request the CEB secretariat, through its Human Resources Network, to include succession planning on the agenda for in-depth discussion at its regular meetings, with a view to developing policies and a framework for succession planning for adoption by the United Nations system.[22]

21. In response to that JIU recommendation, at the biannual sessions of the Human Resources Network in 2009, the CEB secretariat presented a note on succession planning in the United Nations organizations,[23] which included a proposed framework for developing a succession planning strategy.[24] That framework listed six prerequisites for the proper design of a succession planning strategy (see box 1).

Box 1. CEB proposed framework for developing a succession planning strategy

(a) The starting point should be to establish the business case for devoting resources to this activity. Creating a clear link between the organization's goals and the competence required to deliver them will help to make the case. Organizations may start with planning for retirements in senior management positions, which could result in loss of leadership, institutional knowledge, expertise, etc.

(b) The responsibility for initiating action should come from the top of the organization (the Secretary-General has already endorsed this in his report "Investing in People").[25] Human resources should play an essential role in facilitating the process; in addition, every manager should be responsible for identifying and nurturing talent in his/her area of responsibility.

(c) Developing processes for assessing performance and potential that are robust and transparent is vital.

(d) Keep the subject of succession planning focused by embedding a cycle of planning, review and decision-making.

(e) Focus first on priority areas — i.e. planning for retirements; filling Heads of Offices in the field, etc., this is likely to make the process more manageable and lead to lower initial investment.

(f) Avoid bureaucratizing the process and burying it in forms.

22. The CEB note endorsed a definition of succession planning, describing it as "a deliberate and systematic effort by an organization to ensure skill and performance continuity in key posts ... to retain, develop, engage, and encourage individual

[22] See A/62/628, p. 14, recommendation 6.
[23] CEB/2009/HLCM/HR/11, paras. 10-19; CEB/2009/HLCM/HR/37, paras. 10-20, and Annex 2, pp. 12-15.
[24] CEB/2009/HLCM/HR/37, Annex 3, p. 16.
[25] A/61/255.

performance and enhancement of [an organization's] intellectual and knowledge capital".[26]

23. Subsequently, the CEB secretariat invited the Human Resources Network to discuss the development of succession planning policies and agree on a set of tools or models to assist the organizations in implementing succession planning, making use of the proposed framework for developing a succession planning strategy.[27] The results of a survey previously conducted by the CEB secretariat had concurred with the findings of the aforementioned JIU report, as it concluded that only one or two organizations in the United Nations system has established a succession planning strategy with clear goals.[28] However, the CEB note did not identify the organization or organizations.

24. Human resources planning, including succession planning, has been a key area of the human resources management reform of the Secretary-General of the United Nations since 2000.[29] In his 2006 report entitled "Investing in people", he underlined the importance of systematic succession planning with a five-year horizon in the implementation of his proposals to foster staff development and career support in the United Nations.[30]

25. However, in December 2011, the General Assembly of the United Nations expressed serious concern about the lack of progress by the Secretary-General in developing a comprehensive succession plan for the Organization, and requested him to formulate a strategy on succession planning for all departments of the Secretariat.[31]

26. After presenting its note in 2009, the CEB/HLCM Human Resources Network did not raise the issue of succession planning again at any of its regular meetings for six years. The issue reappeared on the agenda of the Network in March 2015 as one of the key issues under the agenda item on workforce planning.[32] However, the discussion initiated at the first annual session of the Network, held in Madrid, was discontinued as the topics of workforce planning and succession planning were removed from the agenda of the Network and were not discussed at its second annual session, which took place in Vienna in July 2015.[33]

27. Conversely, succession planning is now high on the current ICSC agenda. The current version of the ICSC framework, which was developed in 2000, describes human resources planning as a non-core element of organizational design, without linking succession planning to it in any way (see box 2). However, in interviews, ICSC secretariat officials who contributed to the revision of the publication "A Framework for Human Resources Management"[34] affirmed that the revised text,

[26] CEB/2009/HLCM/HR/11, para. 4; CEB/2009/HLCM/HR/37, para. 4, quotation by the CEO of USA-based private services provider International Centre for Performance Improvement (ICPI) (http://www.icpiconsulting.com/-performance-management-and-succession-planning.html).

[27] CEB/2009/HLCM/HR/11, para. 21; CEB/2009/HLCM/HR/37, para. 22 , and Annexes 3 and 4, pp. 16-20.

[28] Ibid., para. 21.

[29] See A/55/253, in particular para. 23 (a) and annex I, para. 1.

[30] See A/61/255, para. 201.

[31] General Assembly resolution 66/246, para. 16.

[32] See CEB/2015/HLCM/HR/1 and CEB/ CEB/2015/HLCM/HR/4, para. 13.

[33] CEB/2015/HLCM/HR/5.

[34] See http://icsc.un.org/resources/hrpd/hrm/ICSC_hrm_eng.pdf.

which should be issued in 2016, would include succession planning. The purpose of the framework is to enable the organizations of the United Nations common system to manage their human resources effectively and to provide them with a holistic conceptual base.

Box 2. A Framework for Human Resources Management, ICSC (2001)

> Human resources planning involves the systematic assessment of future staffing requirements in terms of numbers and levels of skills and competencies and formulation and implementation of plans to meet those requirements. It is vital to match human resources to the longer-term programme needs of the organization and to maintain an ongoing review of how to make the best use of current and future human resources. In the process, human resources managers must assess how a well-trained and flexible workforce can best be maintained to meet the organization's changing and at times uncertain needs.

28. Given that the ICSC framework was intended to form the basis of all the organizations' future work on human resources policies and procedures, the addition of succession planning to the components of the revised framework from 2016 onwards reaffirms succession planning as an important element of effective human resources management across the system.

B. Succession planning as a risk-mitigating measure of a workforce planning strategy

29. The International Organization for Standardization (ISO), in response to the current globalized marketplace, formed a technical committee to assist organizations in aligning and streamlining their human resource management practices. Its member countries are given the task of developing a set of human resource management standards that will offer broad, coordinating guidance to practitioners on key human resources functions appropriate to the context and need of the organization. The technical committee's working groups examine topics that are discussed and voted on by the countries participating in ISO.

30. The Inspector interviewed the convener of the working group on the inaugural ISO standard on workforce planning,[35] which is due to be published in 2016 (see box 3). She explained that the working group had been established in response to worldwide demand for workforce planning advice and support to enable industry, organizations and businesses of all sizes to advance their workforce planning capabilities and to respond more effectively to the current and projected demands of the labour market, the dynamic international business environment and its increasing complexity. ISO member States have acknowledged that workforce planning has become a strong, evidence-based discipline that is rising from within organizations to sit beside financial plans and business strategies for organizations to prosper.

[35] Julie Sloan is an independent global expert on strategic workforce planning and the lead writer of the inaugural Australian Standard on workforce planning, published on 20 October 2015. She is the Chief Executive of Workforce Planning Global, see http://workforceplanningglobal.com/.

Box 3. Draft definition of inaugural ISO standard on workforce planning (2015)

> Workforce planning is the systematic identification, analysis and planning of organizational needs in terms of people.

31. According to the convener of the ISO working group, workforce planning identifies current, transition and future workforce demand and supply and in doing so, makes explicit the human resource requirements of an organization. It enables management to anticipate and respond to identified needs to strengthen organizational performance outcomes.

32. Furthermore, the convener of the working group explained that succession planning is a task which is now regarded as one of many organizational risk mitigation and management strategies to be undertaken after strategic workforce planning has produced evidence-based information on which decisions can be made. She specified that strategic workforce planning usually covers a defined period of time, generally three to five years, aligned with organizational strategy, while the scope of such planning can include identifying workforce assessments and benchmarking, human resources policy frameworks and associated processes on current and future organizational strategic objectives. The operational workforce planning is limited to a defined period of time, generally 12 months, aligned with the organization's planning cycle.

33. The ISO working group has also designed a table of recommended steps in a workforce plan for medium-sized and large organizations; the steps are transferrable with slight modification to all organizations, irrespective of their size. The table includes four phases for succession plans, listing a number of corresponding tasks for each of them, and presents risk management as the third phase. The convener of the working group places succession planning among the tasks corresponding to the third phase, during which risk management strategies are identified and action plans are designed.

C. Succession planning as a subset of succession management and talent management

34. The theoretical approach of other experts places succession planning inside a much wider set of resourcing and development processes called "succession management", encompassing management resourcing strategy, workforce planning, skills analysis and staff development, namely management development.[36] The key features of this more elaborate, systematic and complex approach to succession management include the identification and development of talent with high potential so that when a vacancy occurs in a key position, the organization does not have just a list of potential candidates, but a pool of better-prepared candidates.[37]

[36] See, for example, Mike Cannell, "CIPD succession planning factsheet" (revised May 2008), and Wendy Hirsh, *Succession Planning Demystified* (Brighton, The Institute for Employment Studies, 2000).

[37] David Berke, *Succession Planning and Management: A guide to Organizational Systems and Practices* (Greensboro, North Carolina, Center for Creative Leadership, 2005), p. 1.

Subsequently, when the purpose of succession practices is readiness, succession management can become indistinguishable from talent management.[38]

35. CIPD views talent management as "the process by which an organization identifies, manages and develops its people now and for the future"[39] (see also para. 16 above), and succession planning as a subset of this process. According to CIPD, "succession planning is concerned with: identifying posts that are critical to success and deciding how best to satisfy future requirements [and] developing strategies to determine the optimum mix of internal and external recruitment".[40] CIPD experts endorse the definition of succession planning as "a process by which one or more successors are identified for key posts (or groups of similar key posts), and career moves and/or development activities are planned for these successors. Successors may be fairly ready to do the job (short-term successors) or seen as having longer-term potential (long-term successors)".[41]

36. National public administrations consider talent management as a key succession planning tool that provides an integrated means of identifying, selecting, developing and retaining top talent within the organization, which is required for long-term planning.[42] Recent findings in the public sector corroborate this trend, which links succession planning with the nurturing and development of staff to become possible successors. The results of the 2014 IPMA-HR survey on talent management benchmarking (see para. 5 above) clearly indicated that most respondents, who were current public sector employees, consider staff development to be key to any succession plan.[43]

[38] Ibid., p. 1.

[39] James A. Cannon and Rita McGee, *Talent Management and Succession Planning* (London, CIPD Publishing, 2007), p. x.

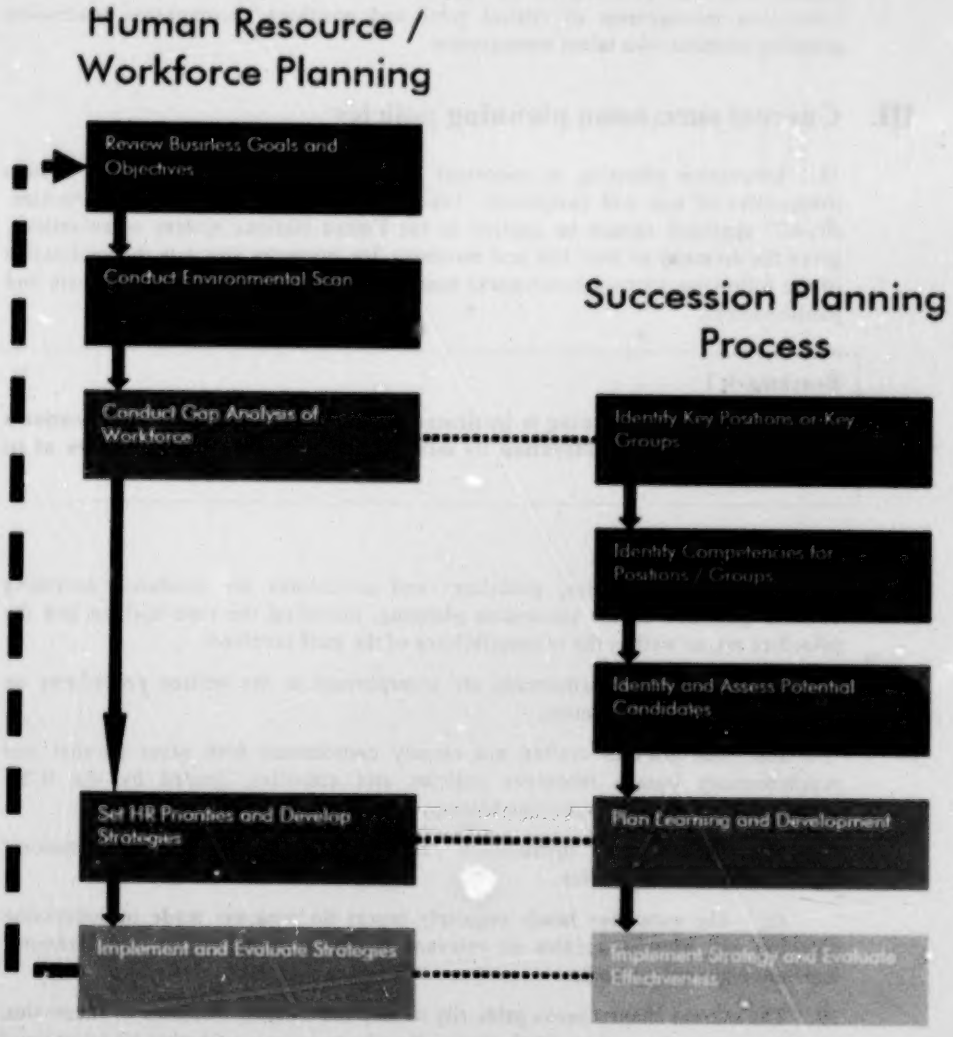
[40] Ibid, p. xi.

[41] Mike Cannell, "CIPD succession planning factsheet, 2008), p. 1, citing the definition by Wendy Hirsh.

[42] See, for example, http://www2.gnb.ca/content/gnb/en/departments/human_resources/career_development/content/talent_management/purpose.html.

[43] IPMA-HR, "2014 benchmarking report: talent management", p. 1.

Chart 1. Guideline: Succession planning supports workforce planning


Human Resource / Workforce Planning
Review Business Goals and Objectives
Conduct Environmental Scan
Conduct Gap Analysis of Workforce
Set HR Priorities and Develop Strategies
Implement and Evaluate Strategies
Succession Planning Process
Identify Key Positions or Key Groups
Identify Competencies for Positions / Groups
Identify and Assess Potential Candidates
Plan Learning and Development
Implement Strategy and Evaluate Effectiveness

Source: "Succession planning and management guide", Public Service Secretariat, Government of Newfoundland and Labrador, Canada (2008), p. 5.

37. All the proponents of the schools of thought on succession planning presented above are inclined to regard it as an important element of organizational planning, irrespective of whether they view it as a component of workforce planning or as a subset of succession and talent management. The Inspector tends to favour the theory that succession planning for critical roles and positions supports workforce planning (see chart 1 above), independently from the chronological order in which

succession planning and workforce planning take place in the context of the overall human resources planning in an organization. According to the Inspector, the succession management of critical roles and positions encompasses succession planning coupled with talent management.

III. Current succession planning policies

38. Succession planning is important for all organizations across the system irrespective of size and complexity. Taking into consideration that the "one-size-fits-all" approach cannot be applied to the United Nations system organizations, given the diversity of their size and mandates, the Inspector suggests the application of the following primary benchmarks based on leading practices in the private and public sectors.

Benchmark 1

Formal succession planning is instituted with due regard to the organization's needs, taking into consideration its mission, its mandate and the nature of its work.

This requires that:

(a) Written policies, guidelines and procedures are produced providing detailed guidance on the succession planning, including the time horizon and the priorities set, as well as the responsibilities of the staff involved;

(b) These new instruments are incorporated in the written procedures on human resources management;

(c) The policies drafted are closely coordinated with other parallel and supplementary human resources policies and activities, guided by the ICSC Framework for Human Resources Management;

(d) These new instruments are presented to the organizations' legislative/governing bodies;

(e) The executive heads regularly report on progress made in succession planning and present updates on relevant results achieved to the organizations' legislative/governing bodies.

39. The current chapter seeks primarily to map the existing elements of succession planning across the system. Furthermore, it seeks to examine whether all or some of the six prerequisites that constitute the CEB proposed framework for developing a succession planning strategy (see box 1 above) exist in the current human resources management policies and practices of the United Nations system organizations. Lastly, it describes the challenges that impede these organizations from assembling all six elements in order to develop a succession planning strategy framework and relevant policies.

A. Human resources strategies, frameworks and guidelines

40. In implementing the relevant JIU recommendation of 2007 (see para. 20 above), the CEB secretariat, through the CEB/HLCM Human Resources Network, had introduced and kept succession planning as an item on the agenda of its regular meetings in 2008 and 2009,[44] expressly recognizing the importance of succession planning at the time, given the anticipated number of staff members who would retire in the coming three to five years.[45] Moreover, the members of the Network had concluded that the matter of succession planning was closely linked with recruitment practices, recruitment for senior posts and inter-agency mobility. In line with their conclusion, they then agreed to establish a focus group to review these interlinked matters in a holistic manner, with a view to issuing guidelines on succession planning. The focus group, which would be composed of representatives of some New York-based organizations (the United Nations, the United Nations Development Programme (UNDP), the United Nations Children's Fund (UNICEF), and the United Nations Population Fund (UNFPA)), would draft a paper on the way forward and share it with the Network.

41. During this review, it was not possible to trace any focus group records in the archives of the CEB Human Resources Network pertaining to succession planning. Former and current officials of the CEB secretariat and United Nations system organizations commented that this lack of records could be attributed to two factors. Firstly, there is high turnover in the membership of the Network. According to the officials, the ex officio members of the Network, namely directors in charge of human resources services, change constantly, as the term of a Director at this level does not usually last for more than five years. Subsequently, most officials who were serving as heads of human resources and were on the Network's focus group in 2009 have since left their posts. The second factor that might have contributed to the lack of records was the simultaneous disruption in the continuity of the work of the CEB secretariat, given that the post of senior adviser to the Network had remained vacant for years since 2009, until the current incumbent took up office. Therefore, there is no documented explanation as to why succession planning had disappeared from the agenda of the CEB/HLCM Human Resources Network from 2009 to March 2015, when it reappeared as one of the key workforce planning-related issues and at the discussion held on succession planning practices.[46]

42. This review revealed that only 14 of the 24 United Nations system organizations reviewed mention succession planning either in their current human resources strategies or frameworks, or in previous strategies or frameworks that are outdated and have not been renewed.[47] Moreover, each of these organizations links succession planning to different components of human resources management. Some of them consider it as a component of workforce planning and/or succession management that is connected either directly or indirectly to talent management or career development. The Inspector is of the view that it is time for all United Nations system organizations, including the above-mentioned 14 organizations, to

[44] See A/62/628, p. 14, recommendation 6.

[45] See the conclusions of the meeting of the Human Resources Network, 18th Session (CEB/2009/HLCM/HR/46/Rev.1), para. 43.

[46] See CEB/2015/HLCM/HR/1.

[47] United Nations, UNDP, UNHCR, UNOPS, ITU, UNRWA, WFP, ITC, FAO, ICAO, UNESCO, UNIDO, WHO, and WIPO.

revisit the already accomplished work in the context of the CEB/HLCM Human Resources Network. Subsequently, the Network members should move forward, and irrespective of the maturity of their own succession planning initiatives at the organization level, they should eventually agree on a common definition of succession planning and a basic framework based on commonly defined features, as initially planned some years ago. The current United Nations system landscape demonstrates inconsistent implementation of the 2009 CEB note and does not reflect the implementation status of the relevant 2007 JIU recommendation, as stated by the participating organizations.

43. In their human resources strategies, two more of the 24 United Nations system organizations that were reviewed (UNFPA and the International Labour Organization (ILO)) refer expressly to workforce planning, but not to succession planning. The UNFPA Human Resources Strategy 2014-2017, for instance, addresses succession planning indirectly only by referring to "talent pools populated by candidates ready for placement in critical positions".[48] The ILO results-based strategies 2010-2015 mention the term "succession plans" only once, without connecting it to a succession planning strategy.[49] However, in 2013 the External Auditor to the Governing Body of the International Labour Office recommended that ILO "should develop a succession planning process",[50] and the lack of succession planning has been identified twice as a risk for UNFPA. More precisely, the UNFPA Advisory Audit Committee pointed out in 2009 that UNFPA had underscored the importance of succession planning and considered the lack of such planning to pose a risk for the Organization,[51] while an enterprise risk management assessment conducted in 2014 identified the lack of succession planning as one of six top enterprise risk areas for UNFPA.

44. The Joint United Nations Programme on HIV/AIDS (UNAIDS) places workforce planning second on the list of the eight interactive elements on which its Strategy for Human Resources Management 2011-2015 has been built. The strategy does not mention succession planning.[52]

45. Overall, only 10 of the 16 participating organizations mentioned in paragraphs 42 and 43 above claim in their human resources management strategies, frameworks and other official reports that they pursue the objective of having "the right people in the right place at the right time" in order to accomplish their strategic goals. However, in 2012, all participating organizations were prompted by JIU Inspectors to institute workforce planning in line with organizational needs.[53]

46. In addition to those organizations, the Universal Postal Union (UPU) and UNICEF have adopted the same motto. The UPU Human Resources Directorate Vision 2020[54] argues that having the right workforce in place would help the organization to achieve its overall objectives. Nevertheless, it does not elaborate

[48] See UNFPA Human Resources Strategy 2014-2017, p. 11.

[49] See ILO, "Results-based strategies 2010-15: Human Resources Strategy — Refocusing human resources" (GB.306/PFA/12/2), para. 11.

[50] See ILO, "Financial report and audited consolidated financial statements for the year ended 31 December 2012" (ILC.102/FIN), p. 38.

[51] See UNFPA, UNFPA internal audit and oversight activities in 2008" (DP/FPA/2009/5), pp. 23-24.

[52] UNAIDS secretariat strategy on human resources 2011-2015, para. 17 (a).

[53] See JIU/NOTE/2012/1, p. 13, benchmark 5.

[54] UPU Human Resources Directorate Vision 2020 (2014), section 1, p. 2.

further on either workforce planning or succession planning, despite the explicit recommendations contained in an outsourced internal audit on succession planning in order to address potential risks observed.[55] UNICEF, which in 2013 added the objective of "having the right people in the right place at the right time" to its human resources strategy, has been reporting on strategic workforce planning and succession planning since 2010, labelling them both as critical human resources work areas.[56] IAEA has not taken any specific steps in this direction yet, despite the positive management response to a recommendation from the External Auditor, who stressed the need for thorough succession planning in IAEA in 2013.[57]

47. The World Intellectual Property Organization (WIPO) was the first and only organization in the United Nations system to publish stand-alone guidelines on succession planning, which it did in 2013. However, the guidelines were soon superseded by the organization's post management guidelines,[58] which were issued in June 2014. According to the WIPO officials who were interviewed, the withdrawal of the separate succession planning guidelines "was in line with the organization's 'mainstreaming' approach'". Subsequently, WIPO included the term "succession plans" in its new workforce planning guidelines drafted in May 2015.[59]

48. That term was included in order to emphasize that overall succession planning for critical talent and key roles should be captured in individual workforce plans. Thus, as part of the workforce planning process for 2016-2017, WIPO programme managers were required to analyse existing personnel resources. More specifically, regarding succession planning, they were requested to indicate why and when a fixed-term position was expected to be vacated and whether a replacement was needed (along with justification, in accordance with the post management guidelines) or whether the relevant tasks could be redistributed or accomplished through an alternative flexible resourcing arrangement.

49. The management of UNDP had accepted a recommendation relevant to succession planning that had been made by its Office of Audit and Investigations and had agreed in late 2013 to develop and implement a mechanism for strategic workforce and succession planning that would include formulating policy and providing guidance.[60] At the time of completion of this review, no such policy or guidance had been prepared.

[55] UPU draft internal audit report by Ernst and Young (October 2013).

[56] See UNICEF, "Division of Human Resources: 2013 Annual Report", pp.1 and 4; and "Progress made in human resources management in UNICEF" (E/ICEF/2010/AB/L.9), paras. 24 and 44.

[57] See IAEA, "The Agency's Financial Statements for 2014" (GC(59)/3), p. 164.

[58] WIPO internal memorandum on post management guidelines (13 June 2014).

[59] See WIPO, "Develop organizational design: workforce planning guidelines" (15 May 2015), p. 4, para. 1.

[60] UNDP Office of Audit and Investigations, "Audit report No. 1109 on the Office of Human Resources", (12 August 2013), p. 13, recommendation 10.

B. Linkage between succession planning and other human resources activities

Benchmark 2

The organization adopts a holistic approach, integrating its formal succession planning and management into its overall human resources management activities.

50. In 2012, the United Nations General Assembly requested the Secretariat to formulate a succession planning strategy for all departments of the Secretariat (see para. 25 above). The Secretariat responded that it had taken a number of steps to develop a more coherent approach to succession planning and presented an overview of the succession planning strategies focused on areas in which staff succession is allowed through roster-based recruitment.[61] The Secretariat listed succession planning as a component of workforce planning under the section of the Secretary-General's report dedicated to talent management.[62] Notably, the Department of Field Support (DFS) qualifies workforce planning as "a business driver of talent management" and links succession planning to its strategic direction. In the Secretary-General's report, it was underlined that the succession planning strategies being presented were in addition to the positions planning work that the Secretariat was carrying out as part of the budget process.[63]

51. However, to date, all the subsequent annual overviews of human resources management submitted by the Secretary-General to the General Assembly have not reported on the results of the implementation of the succession planning strategies announced in 2012, and the term "succession planning" has ceased to be mentioned at all in the overviews that have since been issued. Furthermore, since the General Assembly called in 2014 for the introduction of a workforce planning system as a priority, the Secretariat has been reporting exclusively on its efforts in this area. Meanwhile, the Secretariat admitted that establishing an effective workforce planning process and institutionalizing workforce planning as a new management discipline would require significant effort.

52. In February 2014, the Office of Human Resources Management (OHRM), in conjunction with DFS, launched a project to develop a workforce planning system that could be applied across the Secretariat. A workforce planning advisory group was established, composed of individuals from various departments and offices with relevant experience in talent management, strategic planning and budgeting. In the initial, conceptual design phase of the project, from February to May 2014, the team reviewed current workforce planning practices and lessons learned, developed a vision and new methodology for workforce planning, and conducted a pilot project with the Medical Services Division within the Office for Human Resources Management of the Department of Management (MSD/OHRM/DM).[64] The pilot project, which used a critical role approach to identify positions and plan for adequate workforce to fill them, was presented on 24 July 2014. According to the

[61] See A/67/324, para. 22.
[62] Ibid., paras. 21-22.
[63] Ibid., para. 22 (footnote 4).
[64] See A/69/190, para. 30.

United Nations officials who were interviewed, the advisory group has not been convened since the MSD/OHRM/DM pilot project was presented; it was expected to be reconvened in the second half of 2015.

53. The Secretary-General's report argued that the workforce planning initiative was still in its infancy and additional pilot projects were required.[65] While building workforce planning capacity within the human resources community in both field and non-field operations, more emphasis needed to be placed on "testing and learning through doing". The Secretariat indicated that, in order to develop and implement a robust workforce planning system, a significant investment of resources and time would be required. Given the limited resources and other priorities in the human resources reform effort, the implementation of a workforce planning system would be phased over a number of years. It was envisaged that the timeline would be aligned with the phased deployment of the new mobility and career development framework.[66] However, no indications were given about parallel implementation of succession planning strategies for all departments of the Secretariat.

54. On the contrary, according to the global field support strategy of the Secretariat, as reported in early 2014,[67] DFS declared itself ready for the implementation of a succession management concept and plan, focusing on the senior management level, including director/chief of mission support, deputy director of mission support, chief of administrative services, chief of integrated support services and chief human resources officer. In October 2014, DFS drafted a paper to present a concept and a plan for the development and implementation of a succession management programme for mission critical senior posts, namely Chief of Mission Support (CMS), Deputy Director of Mission Support (DDMS) and Director of Mission Support (DMS).[68] The programme has been piloted in two field operations[69] to test its methodology, and the aim is to produce the first results in early 2016.[70] Afterwards, it is expected that the programme will be rolled out to all field operations, including the more critical senior posts.

55. A draft entitled "Annex II — Improved Field Human Resources Management Framework",[71] intended to supplement the global field support strategy, was shared with the Inspector. DFS officials who were interviewed explained that drafting a plan for succession to those positions had been driven by sheer necessity. Since everyone had acknowledged how hard it was to find and select candidates for such positions, given the combination of skills and experience required, there had been a need to act and start preparing successors to overcome the lack of candidates for those posts. Subsequently, succession planning became one of the six core activities focused on in the draft framework. Moreover, the draft framework placed additional

[65] See A/69/190, para. 31.
[66] Ibid., para. 33. See also A/69/190/Add.1 and A/70/254, paras. 2, 29, 65 and 66.
[67] See A/68/731, annex I.
[68] Eva Garcia, "Succession management programme: mission support leadership pool" (DFS, October 2014).
[69] The United Nations Interim Force in Lebanon and the United Nations Operation in Côte d'Ivoire.
[70] Succession management plan for senior key positions in field operations, United Nations CSU/FPD/DFS (12 February 2015).
[71] Confidential Draft Global Support Strategy for the United Nations Field Operations — Version 8: Annex II — Improved Human Resources Management Framework, United Nations Department of Field Support (as at 1 September 2015).

emphasis on succession planning mechanisms for senior leadership positions in peacekeeping operations.

56. According to the interviewees from the International Maritime Organization (IMO), the IMO succession planning strategy, which is currently under development, is closely interlinked with career development, performance management and staff mobility issues. More specifically, succession planning constitutes one of the building blocks of a career development system at IMO. Similarly, the World Health Organization (WHO) views succession planning as a vehicle to achieve workforce planning, given that it constitutes one of the four major components of career management, along with career development, performance management and mobility; and represents a main pillar of its human resources strategy.[72]

57. According to the United Nations Educational, Scientific and Cultural Organization (UNESCO), "talent management is about attracting and retaining talented people committed to the values of the Organization".[73] For UNESCO, workforce planning is a prerequisite for talent management, as profiles and skills requirements should be identified in advance, and staffing strategies to address the identified needs should be developed and implemented. The implementation of workforce planning strategies paves the way for "effective succession planning, ensuring programme continuity and avoiding staffing gaps".[74]

58. Through its talent management framework, the United Nations Office for Project Services (UNOPS) aimed to establish an integrated talent management approach, including, inter alia, strategic workforce planning and succession planning, in order to satisfy current and future staffing needs.[75] UNICEF uses the term "talent planning" as a synonym for succession planning, considering it to be "a strategic approach to ensuring a ready supply of qualified talent to meet demands on the ground".[76] Reportedly, the UNICEF Division of Human Resources has developed an integrated talent management system solution for six critical human resources work areas, including workforce planning, career development and leadership/succession planning.[77]

59. Two international organizations outside the United Nations system, the Organization for Economic Cooperation and Development (OECD) and the World Trade Organization (WTO), have also anchored the notion of succession planning in talent management and career development. OECD officials who were interviewed said that they would look into programmes to develop talent and view succession planning as one way to do it. This is close to the approaches taken by the United Nations, UNICEF, UNOPS and UNESCO. WTO officials explained that although they had no succession planning process in place yet, they were preparing the foundations for such a process. They view succession planning as one of the building blocks that they need to incorporate into their career development system.

[72] See WHO, EB134/INF./2, paras. 6, 7 and 15.
[73] See UNESCO, 186 EX/25, annex I, para. 8.
[74] Ibid.
[75] See UNOPS, "Organizational Directive No. 39: Talent Management Framework (rev. 1)", 1 September 2015, para. 3.3.
[76] UNICEF Guidelines on Senior Staff Rotation and Reassignment Exercise 2015 (November 2014), para. 44.
[77] UNICEF, "Division of Human Resources: 2013 Annual Report", pp. 3 and 4.

Conclusively, the WTO concept is identical to that of IMO and very similar to the concept adopted by WHO (see para. 56 above).

C. Priority areas in succession planning

60. One of the prerequisites listed in the CEB proposed framework for developing a succession planning strategy (see box 1 above) is to focus first on priority areas in order to make the process more manageable and lead to lower initial investment. One of the examples cited as a priority area for planning is retirements. Seven specialized agencies (the International Civil Aviation Organization (ICAO), the International Telecommunication Union (ITU), the United Nations Industrial Development Organization (UNIDO), UPU, WHO, WIPO and the World Meteorological Organization (WMO)) seem to apply this (see annex II), as their informal succession planning concerns staff members who are retiring. Moreover, in all those organizations, succession planning covers all retirements irrespective of the professional category and level.[78] Additionally, ICAO, ITU, WMO and IAEA reported using the same method of planning their human resources: their human resources planning follows their respective budgetary cycles, projecting expected vacancies within the next budgetary cycle (four years for ITU and WMO; three years for ICAO; and two years for IAEA). However, in IAEA this in-cycle planning could continue and off-cycle Furthermore, IAEA officials emphasized that, owing to the seven-year limit of term for professional staff members, organizational forecasting inevitably had to consider not only retirements but also upcoming separations of staff members reaching the limit of their tenure.

61. Two more organizations, the United Nations and the Office of the United Nations High Commissioner for Refugees (UNHCR), focus on and prioritize retirements for succession planning, but at senior level only. At the United Nations Secretariat, the Office for Human Resources Management of the Department of Management (OHRM/DM) considers retirements as a priority area for succession planning, given that they are easier to predict. Consequently, the respective vacancies should be advertised before the retirement. Executive Offices and Member States have online access to a five-year forecast of senior retirements.[79] In addition, Executive Offices can obtain reports on retirement data for various periods using a human resources reporting tool of the Secretariat's Integrated Management Information System (IMIS). DFS staff stated that they use a systematic approach to succession management, particularly in the light of the number of retirements of Directors at D-1 and D-2 levels that are anticipated in the near future. Therefore, they review and track such retirements at least one year in advance. The Department of Public Information of the United Nations Secretariat and the Economic Commission for Africa, in their respective responses to the questionnaire, reported forecasting mandatory retirement from service as the only method at their disposal for predicting departures and vacancies. It was specified that although the focus of succession planning at the Economic Commission for Africa applies primarily to Directors at D-1 level and professional staff at P-5 level, it is also relevant to P-4 and P-3 levels, as well as to general services staff at G-7 level.

[78] ITU Human resources management strategy and policy framework 2010-2014, Annex 2, Chapter III, para. 35, p. 6.

[79] See A/69/190, p. 12, table 2.

62. UNHCR is currently facing a leadership challenge, given the large number of senior staff members retiring in the next decade. Therefore, UNHCR is planning to minimize the impact of this upcoming loss of senior staff from the organization. With the large number of international staff members recruited during the humanitarian crises of the 1990s, a significant number of current UNHCR senior managers are due to retire between 2016 and 2026: 86 per cent of D-2 level staff; 73 per cent of D-1 level staff; and 48 per cent of P-5 level staff.[80] Overall, 50 per cent of the current UNHCR Country Representatives and Heads of Offices from P-4 to D-2 levels will retire during this period.

63. Some organizations follow, as the priority area for succession planning, the second example cited in the CEB proposed framework for developing a succession planning strategy: that of heads of field offices or similar senior positions away from headquarters. The UNAIDS response to the questionnaire indicates that careful succession planning is carried out at the regional and country levels for the positions of UNAIDS Regional Support Team Directors and Country Directors, and through proactive management action, these positions are filled as soon as they become vacant. Similarly, UNDP pointed out that being a field-based organization, succession planning is focused on its senior management roles in country offices, namely Country Directors, Deputy Country Directors and Deputy Resident Representatives, as these are its critical leadership positions that form the core of its operations. Likewise, WHO, according to its officials, has since 2009 had in place succession planning for the heads of the WHO offices in countries, territories and areas. According to UNICEF, the succession planning in the Organization is focused systematically and regularly on posts of Representatives (at P-5, D-1 and D-2 levels) and all other posts at the D-1 level and above, such as those of Associate Directors, Deputy Directors and Directors. As for UNOPS, the interviewees explained that its succession planning also focuses on senior leadership roles as they are the most business critical and challenging to source from outside the organization. ICAO views the replacement of staff in management and leadership roles at the P-5 level and above, technical functions and at the senior level of general service category (G-7), as very critical, especially in view of the upcoming retirement of a large contingent of the current generation of aviation professionals.

64. The Inspector found that mobility and rotation policies, wherever they are applicable, force the organizations of the United Nations system to plan and prepare for succession. Most participating organizations with an extensive field presence and operations, such as UNAIDS, UNDP, UNFPA, UNHCR, UNICEF, WFP, the Food and Agriculture Organization of the United Nations (FAO), WHO and UNESCO, mainly apply geographic mobility of either a mandatory or voluntary nature. IAEA and organizations in which staff members are mainly located at their headquarters, such as ICAO, may also apply functional and interdepartmental mobility as an option for their staff members. In the case of ICAO, voluntary reassignments also include duty stations away from its headquarters.

65. The UNAIDS mobility policy applies to staff members in the professional and higher categories serving on fixed-term appointments, including the key positions of UNAIDS Country Directors. UNAIDS officials stated that through timely placement of qualified staff in positions around the world, mobility helps to ensure that the UNAIDS workforce is fit for purpose. The mobility exercise takes place once a

[80] Statistics provided by UNHCR in January 2016.

year. The priority areas in succession planning that UNFPA has identified are the rotational leadership posts, namely Representatives at the D-1 and P-5 levels, Deputy Representatives at the P-5 and P-4 levels and International Operations Managers at the P-4 and P-3 levels. The functions relate to the core business of UNFPA and are covered by the institutional budget. These posts fall under the rotational concept which is therefore a key for identifying candidates for these roles. A leadership pool concept is embedded in the rotational policy, so that staff members wishing to move to a leadership role, as well as external candidates, can be considered for assessment. Staff members with a strong performance record who are due for rotation are prioritized for assessment, provided they meet all the essential criteria. During the annual rotation exercise, approximately 20 to 30 staff members rotate to new posts.

66. While a new UNDP mobility policy is currently under development, its existing rotation policy with the embedded pool concept looks similar to that of UNFPA. More specifically, the UNDP Selection and Reassignment Policy for International Rotational Posts, which has been in force since 2010, includes a biannual reassignment exercise for filling P-4 to D-1 level international rotational posts that will become vacant. UNICEF carries out a similar annual exercise in senior staff rotation and reassignment. The exercise is seen as a successful model for succession planning and rotation of senior management and leadership posts. The guidelines on the UNICEF Senior Staff Rotation and Reassignment Exercise describe this process as a corporate exercise to pursue systematic and timely succession planning for senior positions within the organization and to facilitate the identification of the most suitable candidates to serve as UNICEF leaders globally.

67. Rotation is inherent in the majority of the UNHCR functions, and particular attention is paid to maintaining a balance with regard to assignments to hardship posts. Therefore, its officials argue that their organization applies a very predictable and planned rotation, around which the career development of its staff members is planned as well. UNHCR issues biannual compendia of the rotational posts, in addition to addenda and fast track vacancies. At WFP, decisions on assignments to key senior positions, from D-1 to D-2 levels and Country Directors at P-5 level, are taken by the senior staffing committee, in accordance with the WFP General Reassignment Policy. Decisions on reassignments for rotation purposes of staff members from P-1 to P-4 levels, as well as at P-5 level, serving all other functions except that of a Country Director, are normally taken during a major annual exercise.

68. The FAO mobility programme was revised at the end of 2014, when an entirely new mechanism was put in place under which the managers of the technical departments, in consultation with the heads of decentralized offices, became fully accountable for meeting the corporate mobility targets. Having done that, they are now required to consider the staffing in the technical areas under their responsibility. For example, the managers identify which staff member would benefit from a reassignment or would be the best match for a post that will become vacant within the next 24 months. Those mobility plans were submitted by managers for first time in 2015, at which point 45 professional staff members undertook geographic mobility. FAO expects that managers, assisted by human resources, will play a greater role in supporting their staff for determining their next career moves, which is certainly a key towards introducing succession planning in the organization.

69. The WHO mobility exercise, based on standard duration of assignment, which in turn depends on the hardship classification of the duty station, will periodically allow the Organization to place the right people where they are most needed. This will also help to adjust to the changing needs across the organization. The UNESCO geographical mobility policy targets staff who exceed their standard duration of assignment. In some cases, staff members who have extensive managerial experience at headquarters or in the field, when approaching either their standard duration of assignment or the statutory retirement age, are called upon to fill temporarily the functions of a vacant managerial post pending the staffing of the post.

70. During their seven-year career with IAEA, after which professional staff members have to leave the organization, the Agency's mobility policy provides staff with the opportunity to move to a different role in order to broaden their skills and experience and change their perspectives. Mobility of staff is considered to promote knowledge sharing and good practices, and a better understanding between different departments, divisions and sections in the Agency. IMO mobility policies allow staff members to gain expertise and experience in key positions and increase their chances of being appointed to other positions. However, IMO does not offer a guarantee of transfer or promotion. Conversely, mobility to key managerial positions is considered an important pattern for career progression at ILO. According to ILO officials, the system of calling for expressions of interest in managerial positions (Country Office Directors at P-5 and D-1 or D-2 levels), which has been in force since early 2013, has proved to be an excellent tool for increased rigour and transparency in the system. It provides interested internal candidates with significant opportunities for career progression.

D. Role of human resources services

Human resources practitioners

71. Another stipulation of the CEB proposed framework for developing a succession planning strategy is that human resources are expected to play a significant role in facilitating the succession planning process. The Inspector observed that only five organizations of the United Nations system assign staff members from their human resources services exclusively to workforce planning and/or succession planning (the United Nations, UNDP, UNFPA, the International Trade Centre (ITC) and UNESCO).

72. At the United Nations Secretariat, one of the components of the OHRM Strategic Planning and Staffing Division, the Planning, Reporting and Monitoring Section, has been assigned as one of its core functions the provision of advice and support for the development of human resources management policies, including succession planning. The key staff members of the Section are the Planning and Analysis Team Leader and his or her team. A dedicated workforce planning component will support network staffing teams in the context of the newly introduced managed mobility.[81] During the review, UNDP amended the organization chart of its Office for Human Resources to reflect the change of the title of the head of the Succession and Sourcing Unit to Human Resources Advisor, Strategic

[81] See A/70/254, para. 47.

Sourcing and Succession Planning. Along with the new functional title, the job description of this P-5 level post, which reports to the Chief of Integrated Talent Management, also changed. More precisely, the 2008 version was modified in June 2015 to include more duties and responsibilities related to succession planning. The incumbent of the post currently discharges his duties assisted by a Human Resources Specialist at P-3 level and a Human Resources Analyst at P-2 level.

73. UNFPA reported that an internal group on talent management and planning for succession was handling relevant issues. Within the context of the new structure of its Division of Human Resources, which was approved and implemented in 2014, a dedicated P-4 post for a Workforce Succession Planning Specialist has been established. In addition, a new Workforce Analytics Specialist post at P-3 level has been included in the structure to ensure UNFPA is able to use workforce planning more proactively to strategically forecast the Organization's talent needs. Both roles report to the Chief of Talent in the overall structure of the Division of Human Resources. In addition, extra resources have been provided in 2015 for the recruitment of a human resources specialist as a temporary staff member at P-3 level to support succession planning activities. ITC established a new Human Resources Projects and Planning Team, to be headed by a Human Resources Officer whose post was upgraded and whose responsibilities include the management of an organizational workforce planning system, including a succession planning tool.

74. At UNESCO, the Staffing, Policy, Planning, Learning and Development Section is responsible for planning and staffing related matters. In addition, its Organizational Design, Senior Post Management, Support Unit, which provides strategic advice and analysis on organizational planning, is responsible for the recruitment and mobility of senior management posts at the level of director and above, and heads of field offices.

75. At UNICEF, a senior staff review group, composed of one D-1, one P-4 and one G-6 staff member, manages the relevant portfolio, including succession planning. At UNHCR, the Division of Human Resources Management is not entirely staffed with professional human resources practitioners; it has recruited pro bono expertise from outside the Organization to assess its workforce and identify gaps. A strategic human resources pillar was established in 2015 to look specifically at leadership succession and talent management. This pillar, headed by the Deputy Director, will consist of four international positions including three newly created ones. IMO has recently hired one staff member as a Career Development Officer at the P-3 level. However, the workload and percentage of time spent on succession planning has yet to be determined.

76. At ITU, the relevant activities are undertaken by staff in the Human Resources Policies and Planning Division. As for UPU, succession planning is part of the responsibilities of the expert in Human Resources Strategy and Planning (a P-4 level post), who is currently assigned to the Global Talent Management Unit. At ILO, the Talent Management Branch of the Human Resources Development Department employs one staff member as a Workforce Planning and Job Classification Specialist, who handles classification and reclassification cases and drafts generic job descriptions in addition to the workforce planning-related duties. The 2015 workforce planning guidelines at WIPO (see para. 47 above) describe, in addition to the roles and responsibilities of the officials involved in workforce planning, the role of the Human Resources Planning Officer working in the Human

Resources Planning Section. WIPO officials explained that this junior officer, who is in charge of planning, discharges that function along with other human resources responsibilities, and is temporarily supported by an external consultant.

77. Some international financial institutions have found, based on their experience, that succession planning bears no additional cost other than the time spent on it by existing human resources. Therefore, whether or not to invest time in succession planning seems to depend on the willingness of human resources practitioners to do so. Personal convictions may also play a significant role in supporting succession planning and "selling" it to the senior management of the organization. Scepticism in this regard is also widespread in the public sector at national level.

78. Nevertheless, the Inspector took note of the efforts of some public administrations to defy the scepticism and reluctance and guide their employees in developing formal succession planning with the means at their disposal. The Inspector is of the view that **the United Nations system organizations should consult those administrations and study their lessons learned, where applicable, in order to emulate their positive spirit and zeal across the system** (see annex I).

Human resources management tools.

79. The participating organizations' questionnaire responses on tools used by human resources management practitioners for succession planning purposes, namely to forecast departures from key positions and subsequent vacancies, indicated that the available means are not sophisticated. Very few of the existing enterprise resource planning tools, such as the one used by WIPO, include human resources modules adequate for planning and reporting on staffing metrics, which would support succession planning. Most organizations are able to forecast retirements, but in many cases the retirement data and the relevant reports are either produced manually or cannot be delivered automatically. The latter is the case at WHO. Despite the large size of the Organization and its worldwide operations, managers do not have direct, automated access to the vacancy forecast data in their area of responsibility. Reports on retirement data produced by the WHO Global Management System are not delivered automatically by the system to the managers concerned, but by electronic mail seeking confirmation of the action to be taken on upcoming vacancies, including key posts.

80. It appears that the few existing electronic talent platforms used by human resources sections in United Nations system organizations do not possess all the appropriate features for succession planning, given that, when they were designed, they were not intended to be used for this purpose. This is the case for "Inspira", which is used by the United Nations for the entirety of its staff deployed at Headquarters and established duty stations or in the field. Inspira, as an electronic talent platform, cannot cover the succession planning aspect of human resources planning. The newly introduced enterprise resource planning tool "Umoja" also lacks features that are adjusted to workforce or succession planning. The lack of electronic tools capable of supporting the implementation of succession planning is an obstacle that should be overcome by the United Nations system organizations. From this point on, any introduction or upgrading of enterprise resource planning systems and/or modules should take this into consideration.

E. Challenges and solutions

The mindset of the organizations' top management in discharging their responsibilities

81. The CEB note of 2009 and the succession planning general principles it contains[82] were welcomed and accepted by all the participants of the CEB Human Resources Network, who are heads of human resources. However, the momentum of that consensus has been lost because it is a personality-driven process and there is a high turnover of directors of human resources in the United Nations system organizations, as already noted in paragraph 41. Subsequently, the successors of those participants have ceased to address succession planning.

82. Besides the frequent change of top human resources managers in the organizations across the system, some officials are of the view that most senior managers do not think in terms of long-term planning. They consider succession planning to be a luxury, and administration takes priority over it; their responses to demands are crisis-driven and reactive. Similarly, according to an executive director of an international human resources research institution, succession planning tends to be overlooked at the national public sector level as well. The interviewee noted that managers in national public administrations tend to have a narrow mindset and focus on urgent problems. The managers of most organizations, he argued, demonstrate a lack of interest, as they perceive there to be no benefit from succession planning in the short term. They could, according to him, easily start by planning succession for leadership positions. In other international organizations, such as the European Commission, succession planning remains informal.

Box 4. Succession planning general principles proposed by the CEB secretariat

> The process must be sponsored by the Executive Head of the organization and the entire Senior Management Team.

83. In the United Nations system, it seems that most of the current heads of human resources no longer support succession planning to the same degree. Most officials who were interviewed said that the compensation review has been the highest priority on all officials' agendas, dominating the landscape for the past two years.

84. External and internal oversight bodies have continued to draw the attention of the organizations to risks posed by the lack of workforce planning and succession planning. In 2014, the Audit Advisory Committee of the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) recommended the introduction of succession planning, and the organization is now considering options for introducing it.[83] However, the management of other organizations either does not accept the relevant recommendations or claims that it fully implements the recommendations, while in practice not doing so. For example, in 2014, ITC requested the United Nations Office of Internal Oversight Services (OIOS) to remove from their final audit report a critical audit recommendation that ITC develop a formal plan and time frame for the implementation of its strategic

[82] CEB/2009/HLCM/HR/37, annex 4.
[83] See UNW/2015/4/Add.1, para. 16.

workforce planning system. In 2013, as mentioned above, the External Auditor of IAEA and the outsourced internal auditors of UPU recommended that the respective organizations develop succession planning.[84] Nevertheless, neither organization has taken any initiatives to that effect, although in the case of IAEA, the management did indicate that it would comply with the recommendation.

85. All the officials who were interviewed from some of the smaller participating organizations (ITC, IMO, UPU and WMO) used similar arguments for justifying the lack of progress in developing formal succession planning. They consider that one of their main characteristics is that they are "static" organizations from a career perspective, given that they have no field posts and no geographical mobility. Another reason for being static is that the nature of their work is specialized and technical, focusing, for example, on aeronautical meteorology, naval architecture, ethical fashion or maritime law. Consequently, the posts are also highly specialized, so they require and recruit specialists and experts. Most officials are already middle aged and are at the senior professional level when they first join the organization. Therefore, they do not have great career advancement aspirations and they end their careers within their organization, which constitutes a niche for them. The only reason for them to depart is retirement, to which they aspire in order to complete their pension requirements.

86. According to some interviewees, this results in a very low number of vacancies, which are quite predictable as they concern scheduled retirements only. In many cases, these organizations look outside the organization for candidates for successors to posts that have not yet been vacated. Human resources staff at IMO and WMO stated that they use their scientific networks, mainly at the national level, given the up-to-date know-how, expertise and knowledge of new technology and trends required for the posts. Furthermore, ICAO and WIPO underlined the difficulty of forecasting the key skills for the future because of the rapidly changing environment.

87. This is also the case for UNODC. The officials from that organization said that an additional challenge to succession planning for them was that most UNODC posts are attached to projects funded by extrabudgetary resources. The duration of the posts is therefore linked to the life of the project, which in most cases is unforeseeable. Other organizations face the same problem with regard to long-term succession planning for project critical posts, especially UNOPS, as well as organizations that respond to emergency situations such as humanitarian and natural disasters, including the United Nations Office for the Coordination of Humanitarian Affairs (OCHA).

88. Some organizations that were reviewed used the argument of their size and limited number of positions as a reason exempting them from having long-term succession plans. The World Tourism Organization (UNWTO) justified that fact that it did not prepare successors for critical posts on two counts: first, the extremely limited number of vacancies each year, and second, the dependency of the future requirements of the posts on the personal attributes of their current incumbents' professional profile. However, the smaller United Nations system organizations run the same risks as the larger ones: they may suffer the same consequences of the lack of succession planning, which eventually lead to an interruption in business

[84] See IAEA, "The Agency's Financial Statements for 2013", (GC(58)/5), p. 119, recommendation 11; and "The Agency's Financial Statements for 2014", (GC(59)/3), p. 164.

continuity and a loss of institutional memory. The proportion of critical positions to the overall number of positions in an organization remains the same irrespective of the size of the organization and the scale of its operations.

89. UPU, for example, which also used its small size as a justification for the absence of succession planning, had never identified the considerable number of key positions it has until an internal audit was conducted in 2013. For the purposes of the audit, human resources identified that there were 38 key positions in the organization. Preparing long-term succession plans and a pool of potential internal successors for 38 key positions in a small organization of about 200 staff members seems to be an indispensable exercise in view of the high percentage, about 20 per cent, of key positions to the total number of staff members. The ratio of key positions appears to be lower in other small organizations. In WMO, for instance, the ratio is 9 per cent, with 25 key positions out of about 280 staff members.

90. Officials and staff representatives from some specialized agencies pointed out that even in organizations of a scientific or technical nature such as WHO, ILO or UNIDO, staff members at senior positions from P-5 level and above, for example, medical doctors or food technologists, invariably need to develop managerial and other skills in addition to their technical skills to be able to fulfil the managerial and supervisory responsibilities of a senior post effectively. In ICAO, where most staff members join as experienced technical professionals mid-career, the Organization recognizes the need for them to be given managerial development opportunities in order to be prepared for advancing to leadership positions in technical areas.

91. Staff representatives reminded the Inspector that the lack of succession plans for top senior positions could sometimes be conducive to pressure, political and otherwise, which prevented many critical senior posts across the United Nations system from being filled in a timely manner and/or by suitable and fully qualified candidates. One relatively recent example is the post of the OIOS Director of the Investigations Division, which took years to be filled, despite the criticality of the function. An earlier example is that of ITC in 2005, when the Organization lost six Directors in the course of one year. Nevertheless, in 2011, a JIU report drew the attention of the United Nations Secretariat and Member States to this delicate matter, following the issuance of a report that provided guidelines that would allow timely and effective succession of managers at the highest echelons of the Organization.[85]

92. Human resources officials and staff representatives across the system expressed concerns about a culture of procrastination among managers when taking steps to fill vacant posts on time. Human resources do not have the power force managers to advertise vacant posts in a timely manner. The head of the Human Resources Division at IFAD informed the Inspector of a good practice that encourages managers to plan for timely filling of vacancies. In addition to the monthly meetings on staffing needs, the head explained that the human resources business partners at IFAD also meet twice a year to discuss escalation of actions and steps to be taken regarding the vacant posts accumulated during the past half year. At UNDP, senior managers are also involved and engaged in succession planning, given that the Organization invests in their involvement. Each UNDP deputy director is assigned an active role in the talent review exercises and receives

[85] See JIU/REP/2011/2, para. 50.

training to serve as an assessor in the two UNDP assessment centres, where they are entrusted with screening potential talent for leadership functions.

93. The implementation of the following recommendation is expected to enhance the control, compliance and accountability of executive heads across the system.

Recommendation 1

The legislative/governing bodies of the United Nations system organizations should exercise their oversight role and examine the causes for the lack of, and/or the delay in, the introduction of formal succession planning in their respective organizations, including the adequacy of current funding; and request the executive heads of these organizations to develop formal succession planning without any further delay, by the end of 2017.

94. As succession planning does not occur in isolation, and multiple strategies are needed, the top management has to endorse such strategies in order to adopt succession planning. However, several human resources officials reported that in their organizations, the misperception that succession planning is a human resources issue is widespread. In fact, succession planning requires collaboration, involvement and ownership of all the divisions, departments and offices in the organization. According to an academic study, that misperception, which may become one of the main obstacles to developing succession planning, is also common in the public sector at the national level.[86]

95. OECD engages managers intensively in the succession planning process. Equally, the European Commission expects its Directors-General to identify the key positions at their respective directorate departments. Some of the directorates, such as the one that deals with energy and climate, require specialized people with very specific knowledge in these domains. Interviewees from some international financial institutions affirmed that their senior managers are involved in succession planning, be it formal or informal. Officials from international financial institutions mainly underlined how important it was that management "buy in" to succession planning. One reason why the executive heads of these institutions seem to be strong proponents of succession planning is that they see it as going hand-in-hand with mobility.

96. As on many other issues, the executive heads of the United Nations system organizations have to set the tone on succession planning in their respective organizations (see box 4 above). The CEB proposed framework for developing a succession planning strategy points out that the responsibility for initiating action should come from the top of the organization, recalling that the Secretary-General has already endorsed succession planning in his report on investing in people.[87] Since he took over his role as the IMO Secretary-General, the stance of the executive head of that organization has been exemplary, as he has made it known to everyone in the organization that he attaches great importance to succession planning. The staff representatives of IMO confirmed that to the Inspector.

[86] Louise Lemire and others, *La planification stratégique des ressources humaines: théories et applications dans les administrations publiques du XXIe siècle* (Quebec, Presses de l'Université du Québec, 2011), p. 208.

[87] See A/61/255, para. 201.

Hopefully, this will be translated into action and a succession planning strategy will soon be formulated.

97. DFS stresses that the input of senior management is necessary at all stages of the succession planning process. Senior management input is critical in detailing the technical skills, competencies and core values required for the key positions, and thus to ensure that the incumbents can competently perform in these positions. Senior management can contribute by analysing the job profiles required for successful performance in these positions.[88] WFP reported that the recent change in that organization to competency-based staff selection has naturally led to closer involvement of the heads of divisions, making them responsible for the selection of the right people.

98. The Inspector took note of the fact that the United Nations Secretariat has not exerted sufficient effort to comply with the request of the General Assembly in 2012 to have all its departments develop a succession planning strategy. The review he conducted reveals that the pilot project on workforce planning launched in 2014 by the Department of Management (DM) has been the one and only step taken to respond indirectly to the request for succession planning at Headquarters. However, for an organization of the magnitude of the United Nations, which has a human capital of more than 30,000 staff members at Headquarters and established offices, a project piloted in one small division of one department only seems very marginal. More specifically, the pilot exercise focused on the approximately 50 staff members of MSD/OHRM/DM who are deployed at the New York headquarters. In addition, this Division has a unique composition, if compared to other Secretariat divisions, owing to the specific set of skills required (medical and paramedical in their majority) from its staff. Consequently, this isolated effort on the part of DM to test some planning in this Division — notably workforce and not succession planning, as requested — gives the impression that the effort made thus far by the Secretariat has been very minimal.

Increase in mandatory age of separation

99. During this and earlier JIU reviews on related topics, the practice of retaining staff members beyond the mandatory age of separation has been criticized by many officials and staff representatives as poor planning of the senior management. Senior officials admitted that there is a culture among many United Nations system managers of refraining from advertising in advance posts of staff who are due to retire. In few cases, such as DFS, can a departure from that practice be seen, as the managers there are forced by the nature of the field operations to tackle the issue of upcoming vacancies by preparing for succession in a timely manner.

100. The view that the increase in the mandatory age of separation across the system in the coming months or years should not be taken into account in succession planning is widely shared, as organizations should not rely on temporary and uncertain solutions for their long-term critical staffing needs. Staff representatives do not see that there is anything to be gained by not making succession plans. Although the introduction of the new mandatory age of separation might mitigate the immediate risks to business continuity by postponing in many

[88] Eva Garcia, "Succession management programme" (DFS, October 2014), p. 3.

cases the upcoming retirements by three to five years, a solution for the longer term should be found.

Knowledge retention

101. CIPD theory acknowledges the role of succession planning in securing knowledge or expertise for the future.[89] Executive heads do not seem to be concerned about the loss of critical institutional memory, expertise and know-how at the senior levels, given that few succession planning initiatives are coupled with measures to retain knowledge and transfer it from departing staff members to their successors. Adequate succession planning ensuring the continuity of a key function requires a timely and adequate handover.

102. In 2010, the CEB/HLCM Human Resources Network recognized the importance of knowledge transfer, especially from high performers to their successors, owing to its financial and other implications.[90] Subsequently, the Network encouraged its members to share any good practices and documents on knowledge management on the CEB secretariat website on a knowledge-sharing forum.[91] More specifically, the Network recommended that the organizations adopt the UNFPA model of "knowledge transfer notes" involving their human resources offices and make mandatory both a hand-over time between departing and incoming staff member and the completion of such notes.[92]

103. In 2012, in response to a recommendation from its external auditor, WIPO indicated that proper handover of knowledge would be considered in the framework of its internal discussions on succession planning.[93] However, a 2014 WIPO evaluation report found that no proper knowledge handover was in place and concluded that WIPO failed to retain institutional knowledge because of inconsistencies in the process, including the handover and backup procedures.[94] In 2012, IMO underlined the need to prepare for knowledge transfer with contributions in terms of staff mobility, in view of the number of anticipated retirements. The UNESCO Human Resource Management Strategy 2011-2016 includes as a specific objective putting a knowledge transfer mechanism in place.

104. IFAD has a budget to allow several weeks of overlap for departing senior officials and their successors. According to the responses to the questionnaire and comments made in subsequent interviews, no United Nations system organization can afford to fund such double incumbency; therefore, there is no overlap between departing and incoming staff members in any of the participating organizations. Only the current UNHCR People's Strategy 2016-2021 mentions shadowing as a method of developing leadership in the organization.

105. However, in 2011 JIU stressed the importance of a succession planning strategy that would allow at least a two-week overlap for senior managers at the level of Deputy Secretary-General, Under-Secretary-General and Assistant

[89] See Cannon and McGee, *Talent Management and Succession Planning*.
[90] See CEB/2010/HLCM/HR/33 (2 July 2010), paras. 8-10.
[91] Ibid., para. 11.
[92] See CEB/2010/HLCM/HR/33 (2 July 2010), para. 11.
[93] WIPO, WO/GA/41/4, p. 3, response to recommendation 3.
[94] Knowledge Sharing in WIPO: Confidential Evaluation Report, EVAL 2014-02 (18 July 2014), para. 43, conclusion 4, p. 13.

Secretary-General in the United Nations Secretariat.[95] Moreover, JIU clearly suggested that the Executive Office of the Secretary-General (EOSG) should be more vigilant and adopt this practice for all senior appointees, including Directors at D-2 level, in whose selection and appointment the Secretary-General has a major role.[96]

106. The implementation of the following recommendation is expected to enhance the effectiveness of the human resources planning of the organizations.

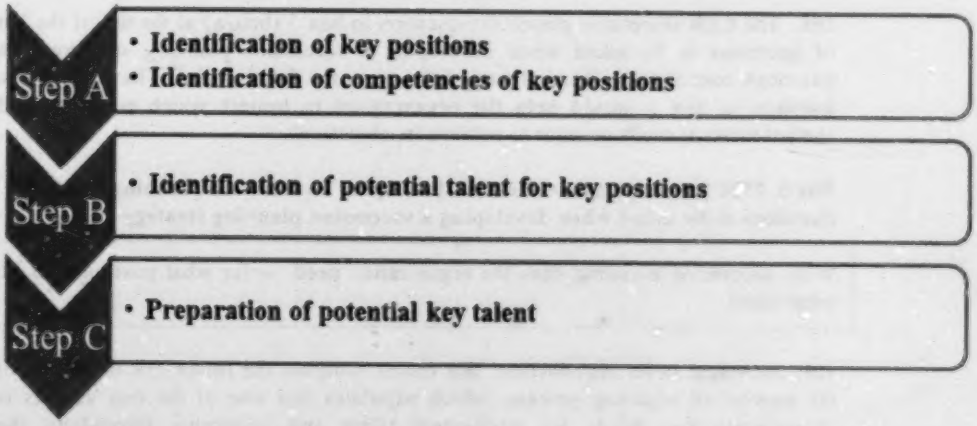
Recommendation 2

The executive heads of the United Nations system organizations, who have not yet done so, should instruct their human resources management offices to develop and implement appropriate frameworks for succession planning strategies, and devise appropriate guidelines on the succession planning process without any further delay, by the end of 2017.

IV. Current succession planning practices

107. Having concluded in the previous chapter that no United Nations system organization has a formal succession planning process in place, this chapter examines which elements of the existing informal succession planning processes are in line with the CEB secretariat's proposed model (see box 1 above). In particular, it examines whether and how the United Nations system organizations take any of the basic steps in the succession planning process defined in the introduction of the present report.

Chart 2. Basic steps of succession planning


Step A
• Identification of key positions
• Identification of competencies of key positions
Step B
• Identification of potential talent for key positions
Step C
• Preparation of potential key talent

Source: Prepared by JIU (2015).

[95] JIU/REP/2011/2, para. 50.
[96] Ibid., paras. 4 and 87, guideline (a).

A. Identification and competencies of key positions

Benchmark 3

The organization establishes by the best means at its disposal its current critical roles and positions, as well as the competencies required for those key roles and positions, and plans for their future revision/identification with more sophisticated means, requesting the appropriate funding.

This requires that:

(a) The organization identify, quantify and document the critical roles and positions as soon as possible, utilizing the means already at its disposal, and to the best of the knowledge of the staff members in charge;

(b) The organization try to assess the potential risks related to each critical role and position identified, using the best analytical method currently at its disposal to justify the business case for succession planning;

(c) The organization foresee and calculate the human and financial resources required to repeat the process (namely, to conduct risk assessments regularly and revise identified key roles and positions) for future revisions/identifications, in the framework of formal and long-term succession planning;

(d) The executive head of the organization report the risk assessment results, justifying formal succession plans and including an estimate of the related cost built into the next budget that he/she will submit to the organizations' legislative/governing body;

(e) The organization identify the competencies required to fulfil the responsibilities of the critical roles and key positions that have been identified.

108. The CEB secretariat placed the question in box 5 (below) at the top of the list of questions to be asked when developing a succession planning strategy. The questions constitute an integral part of the proposed framework.[97] The reply to the question in box 5 would help the organization to project which positions and competencies it needs in order to achieve its objectives.

Box 5. CEB proposed framework for developing a succession planning strategy: questions to be asked when developing a succession planning strategy

What succession planning does the organization need — for what positions, to fill what gaps?

109. As stated in its introduction, this report endorses the IPMA-HR definition of the succession planning process, which stipulates that one of the two aspects is "pinpointing key needs for intellectual talent and leadership throughout the organization over time" and that the first basic step is for the organization to make "a projection in which it anticipates management needs based on planned contraction or expansion factors, as well as workforce trends".

[97] CEB/2009/HLCM/HR/37, annex 3.

110. The traditional approach to succession planning is hierarchical and focuses on leadership positions. This approach is adopted by OECD and large multinational private sector companies such as Nestlé and PricewaterhouseCoopers. According to a research paper focusing on public sector entities, while succession planning has traditionally focused on the most senior jobs, more recently many organizations have adopted a devolved model whereby the same processes are applied to a much larger proportion of the workforce.[98]

111. Equally, private human resources solution providers used by the United Nations system organizations also promote succession management that moves away from the top-down model that focuses on a few key executives. Critical lists in IFAD include P-3 level posts whose incumbents handle payrolls, owing to the critical role they play in the functioning of the Fund. The CEB secretariat notes that succession planning can be expanded beyond managerial positions, depending on what each organization pinpoints as key needs.[99]

112. A CIPD training manual on succession planning defines as "critical": (a) roles that may be linked to the critical success factors of an organization, such as roles in which a vacancy for any length of time would cause a financial, operational or strategic risk to the organization; and (b) the individuals in the organization who possess knowledge or expertise vital to the ongoing success of the organization.[100]

113. The United Nations funds, programmes and specialized agencies, especially those with an extensive presence at regional and country levels, including field operations, pointed out the criticality of some posts located away from their headquarters. Specialized agencies such as ITU, IMO and UNIDO clearly indicated that their key positions are focused on leadership. In ICAO, UNIDO and the United Nations Secretariat, in addition to the leadership roles, some specialized technical functions discharged by senior level general services or support staff members without managerial responsibilities are also considered critical, owing to their importance in terms of business continuity and knowledge retention. Four specialized agencies (ITC, UPU, UNWTO and WMO) and IAEA do not identify key positions in any way (see annex III).

114. The Inspector took note of the fact that, although most of the participating organizations were able to describe the type of positions or roles that are considered key to their organizations, they identified them officially either for the purposes of the review only or for other internal reasons. However, they neither pinpoint these positions and roles nor quantify them, given that they do not possess official data on the exact number of key positions and roles.

Risk assessment in key positions

115. In 2009, the CEB note had stressed to the United Nations system organizations that, from the organizational point of view, succession planning includes risk assessment in key positions.[101] Primarily, two important criteria should be considered in assessing key positions: criticality and retention risk. A critical

[98] Joanna O'Riordan, "Workforce planning in the Irish Public Service", Institute of Public Administration, State of the Public Service Series: Research Paper No. 7 (April 2012), p. 23.
[99] CEB/2009/HLCM/HR/37, para. 5.
[100] See Cannon and McGee, *Talent Management and Succession Planning*.
[101] CEB/2009/HLCM/HR/37, para. 5.

position is one that, if it were vacant, would have a significant impact on the organization's ability to conduct normal business from various perspectives. Retention risk refers to positions where the departure of an employee is anticipated (for example, because of retirement) or likely (such as when there is history of turnover). By examining these criteria apply on a low-to-high scale, an organization can determine which of its positions require short- or long-term planning.[102]

116. Officials from UNOPS stated that the organization has conducted an analysis of its business critical roles in order to identify key roles for succession planning and associated risks, and has ongoing succession planning discussions with relevant senior management. From its key positions, ICAO identifies certain positions that are high risk — those for which the impact and the likelihood of losing the incumbents are high. According to ICAO, these positions are identified and updated by managers when conducting their annual human resources and workforce planning exercise, in the so-called "human resources action plan". The WIPO interviewees reported that, within the overall context of results-based management, the risk assessment process has identified a number of risks related to key positions and functions and the related potential loss of institutional memory, which are addressed as part of the workforce planning processes for the relevant programmes. Reportedly, ILO identifies the risks associated with the unavailability of key staff and the associated mitigation measures. However, this risk assessment and the related measures described in the ILO response clearly concern the temporary replacement of key staff members and not their long-term succession.

Competencies of key positions and career paths

117. The CEB secretariat's proposed framework for developing a succession planning strategy suggests establishing a business case creating a clear link between the organization's goals and the competence required to deliver them. Given that the key positions are critical and indispensable roles for an organization to meet its key objectives, identifying the competencies that correlate with these positions is also indispensable in succession planning. Modern human resources theory corroborates the interconnection between organizational goals and key competencies and stresses the need for succession planning to be integrated with existing competency frameworks.

Box 6. A Framework for Human Resources Management, ICSC (2001)

Competencies: Combination of skills, attributes and behaviours that are directly related to successful performance on the job.

118. Most United Nations system organizations reported using competency frameworks. The majority of these frameworks define the values and core competencies that apply to all staff members in each organization, as well as the managerial competencies that apply to managers and supervisors. In addition to these types of competencies, which, irrespective of their content in each organization, apply uniformly, UNFPA added to its competency framework the

[102] Public Service Secretariat, Government of Newfoundland and Labrador, Canada, "Succession planning and management guide" (April 2008), p. 8, see: www.exec.gov.nl.ca/exec/hrs/publications/succession_planning_and_management_guide.pdf.

functional skill sets required for leadership roles. The MSD/OHRM/DM pilot workforce planning project of the United Nations Secretariat also includes developing a profile for each critical role, in alignment with United Nations competencies.

119. The Inspector found that the OECD competency framework is very elaborate, as it contains 15 core competencies grouped into three clusters, which are defined at five levels. Each level indicates the jobs that are typically associated with the competencies required at that level. Similarly, UNDP reported having produced a technical competency catalogue for each job family that is required in addition to its five core competencies. This competency framework underpins, among other things, selection into the most critical roles at UNDP.

120. Only two organizations (UNDP and WFP) inform their staff members about career paths that may lead to key positions in the future. The "people realignment exercise", which has been conducted in UNDP since 2014, has endeavoured to establish pathways for career planning at the corporate, regional, country and unit-specific levels. UNDP has therefore established "career ladders". UNDP officials pointed out that they introduced a structural change that now links the career paths to functional areas. Subsequently, UNDP developed the Leadership Development Pathways, which guide staff towards developing and enhancing their leadership skills, competencies and capacities at multiple levels. WFP officials stated that they are in the process of defining a career framework for all main functions in the organization, including cross-functional leadership roles. They define the skills and competencies required for each job and level, as well as the desired key experiences and potential paths that lead to those roles, including critical roles. WHO has started piloting a new project called "Enhancing Career Choices", which aims to develop career paths with associated learning pathways and competency requirements across all functional areas.

B. Identification of potential talent for key positions

Benchmark 4

The organization reviews by the best means at its disposal its current talent to identify staff members who have the potential to be considered for and take over key roles and positions immediately or shortly after some additional preparation.

This requires that:

(a) The organization review regularly — annually or biannually — its talent and its performance against organizational competencies and skills sets;

(b) The organization identify and record the high performers who are able to advance to key positions and take over the responsibilities of critical roles, given that they have acquired or can easily acquire the additional competencies and skills required;

(c) The organization provide regular feedback throughout the year to staff members on their performance and record the results of the annual or biannual reviews;

(d) The organization make it clear to the identified high performers that their identification and status as potential internal candidates for future key roles or positions do not represent an obligation or an advantage vis-à-vis other internal or external candidates during the selection process for those roles or positions.

121. When they need to identify potential successors, most organizations focus their interest on those staff members who are of particular value to the organization, either in view of their high potential for the future or because they are fulfilling business or operation-critical roles (see box 7 below). Therefore, organizations need to map the talent they have and systematically assess its potential against their needs.

Box 7. CEB proposed framework for developing a succession planning strategy: questions to be asked when developing a succession planning strategy[103]

What segment of the workforce will be included?

122. Nestlé, which applies dynamic people planning in managing more than 335,000 employees around the globe, has integrated workforce planning in its global business strategy, as in each strategy there is a people component. With 65,000 employees, a sixth of its workforce, in key positions, interviewees at Nestlé explained that succession planning is a broad-based process that supports what they call the "talent journey". They simply ask what talent and what skills are needed for the next three to five years.

123. One of the talent management methods widely used in both the private and public sectors worldwide is the talent review. The talent review process is centred around one or more talent review meetings intended to evaluate organizational trends, assess strengths, and address areas of risk for an entire organization.[104] International financial institutions use this method as well, and OECD considers it a best practice, which has also been confirmed by findings of its internal audit office. However, within the United Nations system, only UNDP, UNHCR and WFP hold such talent reviews (see annex III).

Skills inventory

124. Very few United Nations organizations have a skills inventory, which is a succession information storage tool containing data on the skills of staff members. ILO and IMO have developed such an inventory, while ITC, UNFPA and UNHCR are now building skills inventories, to be launched in 2016. To date, WIPO has no results to demonstrate that any steps have been taken in this direction, despite the recommendation to do so from its external auditor, who explicitly recommended that WIPO should record all the knowledge and skills of its employees in a database to be kept up-to-date, "so as to have available an overview of the know-how existing in the Organization".[105] Officials from international financial institutions who were interviewed stated that their software systems systematically capture data on staff members' skills. For several years, the European Commission piloted a

[103] CEB/2009/HLCM/HR/37, annex 3.
[104] See: https://docs.oracle.com/cd/E15586_01/fusionapps.1111/e20380/F338232AN3D3F2.htm.
[105] WIPO, WO/GA/41/4, p. 4, recommendation 6.

small skills inventory for a group of top managers, and is now in the process of extending it to include other positions.

Creating bench strength: candidates pools, rosters, groups and pipelines

125. Instead of just replacing departing staff members, organizations tend to develop and coach pools of talent. A talent pool is a qualified, pre-assessed and cleared group of potential candidates suitable and ready to perform substantially similar functions in posts in a given job family. This talent pipeline serves the organization as a bench of players serves the team in several sports; The term "bench strength" refers to the capabilities and readiness of potential successors to move into key professional and leadership positions. Interviewees from Nestlé confided that they aim to have a bench of staff members prepared for succession, with at least four staff members ready to fill each key position. The Center for Creative Leadership advises organizations to maintain bench strength of at least two potential successors for each key position.

126. UNDP, jointly with the Development Operations Coordination Office (DOCO), manages the inter-agency Resident Coordinator pools. According to the UNDP interviewees, this experience, combined with a review of best practices and the approaches of other agencies, influenced the creation and implementation of candidate pools in UNDP itself and in other organizations (see annex III). The existing candidate pools across the system seek to maintain diversity and balance in their composition, and mainly achieve proper geographical representation and gender parity in both internal and external profiles.

127. UNDP officials view the creation of pools of candidates for critical posts as part of the solution for succession planning. The officials consider the creation of such pools to be a risk mitigation strategy, as the pools represent bench strength of at least two potential successors for every critical position that becomes vacant in UNDP. Moreover, they specified that, while the UNDP Office of Human Resources does not have a current human resources strategy, the candidate pools programme, which is its ongoing succession planning strategy, was introduced through the former human resources strategy. Candidates are placed on the United Nations Secretariat roster only after a competitive process following the submission of their application to a vacancy announcement. Nevertheless, DFS has developed a pilot project intended to identify a pool of candidates for senior mission support leadership positions, including DMS and CMS. The key to formalizing the current succession process is to examine the pool of candidates on the roster at the P-5 and D-1 levels and the candidates endorsed by the head of mission.

128. The UNFPA Division for Human Resources and the organization management identify suitable candidates to be assessed for leadership roles in three different functions, with a view to maintaining and updating a talent pipeline of suitable candidates. The members of this UNFPA "leadership pool" have been deemed ready to fulfil, or have already fulfilled, such roles. UNICEF maintains talent groups, pools of pre-screened and cleared candidates categorized by functional area and level, to ensure that it can fill vacancies swiftly with pre-approved candidates. A hiring office may appoint a candidate from a talent group through a direct selection mechanism that bypasses the advertisement process and results in a shorter recruitment time. In the UNICEF senior staff talent group, staff members are identified in particular for posts that are difficult to fill. For UNICEF senior staff,

talent groups are populated through a competitive review/assessment process either for specific posts or through a generic process/call for applications. At ICAO, the talent pool of leaders and managers is strengthened through the leadership and management development training programme, which is aimed at enhancing the leadership and managerial skills of existing managers, many of whom were previously technical experts with limited managerial exposure and training. In 2009, WHO also introduced a roster of pre-qualified internal candidates interested in the senior roles of heads of WHO offices in countries, territories and areas, as a basis for its succession planning.

Assessment centres

Box 8. OECD Assessment Centre for Executive Leadership level: Information Leaflet

> An Assessment Centre consists of a combination of behavioural exercises, as well as oral and written tests, which fit together into a programme built to assess a specific set of competencies. Assessment Centres usually focus on behavioural competencies.

129. Many international organizations use assessment centres to evaluate their potential leaders (see box 8 above). These centres are run, or at least initially set up, by private service providers. The assessment centres apply succession readiness criteria. The results of the assessment show whether the staff member: (a) is ready to succeed; (b) will be ready to succeed in two to three years, which means he or she needs substantive training; or (c) will not be ready before three to five years. OECD interviewees consider the assessment centres to be development platforms, as their results indicate whether the staff members who are assessed need further development.

130. Most talent assessments include the "9-box-grid"[106] and the "360-degree-feedback"[107] concepts. The "9-box-grid" is a matrix tool with two axes: one for evaluating sustained performance (past performance) and one for potential (future performance). The grid can easily be read and it identifies top performers and underperformers.

131. A JIU review from 2013 found that several participating organizations were encouraged to use a similar assessment process in order to review candidates for senior managerial posts, after having experienced the benefits of the Resident Coordinator Assessment Centre. However, the review found that assessment centres carry significant financial implications, irrespective of whether they are developed in-house or run by external contractors. Therefore, the authors of that JIU report thought that the United Nations System Staff College (UNSSC), the training arm of the United Nations system, could be requested to play a central role in providing this service in the future for all organizations in order to create a harmonized and economical assessment centre.[108]

[106] See http://virtual.auburnworks.org/profiles/blogs/mapping-talent-on-the-9-box-grid.
[107] See http://humanresources.about.com/od/360feedback/a/360feedback.htm.
[108] See JIU/REP/2013/3, para 144.

Box 9. Conclusion and soft recommendation (JIU/REP/2013/3, para. 144)

> The Inspectors conclude that the CEB Human Resources Network should analyse the feasibility of harmonizing such efforts (on the basis of existing assessment capacities forming part of career development/succession planning initiatives within the United Nations system), including the possibility of establishing a common assessment centre at UNSSC to provide this service for the United Nations system organizations.

132. During the review conducted in preparation for the present report, the Inspector corroborated the earlier findings on the financial implications of an assessment centre, the cost of which could vary from US$ 11,000 to US$ 15,000 per person. **The Inspector therefore reiterates the earlier JIU recommendation** (see box 9 above), **suggesting that the CEB/HLCM Human Resources Network explore the possibility of having UNSSC establish and run a common assessment centre that will serve all the United Nations system organizations**, possibly supported also by the International Training Centre in Turin, the training arm of ILO. However, it goes without saying that this common programme should be developed and expanded gradually, taking stock of successful experiences that have been tested on the ground, such as the tailor-made model in place for assessing candidates for UNDP critical roles. The programme should take into consideration the diversity of competency requirements within the United Nations organizations and should be built around those requirements, creating several modules to cover all possible exercises and tests needed to assess technical or specialist competencies across the system. The initiative could be launched with a feasibility study that would also examine the cost-effectiveness of such a centre at UNSCC.

Impact of competitive recruitment or promotion on identifying potential talent

133. Recruitment in the United Nations common system is based on the principles of transparency and competitiveness. All vacant posts have to be advertised and then filled following a formal competitive recruitment process. The officials of most United Nations system organizations who were interviewed argued that this competitive recruitment process is an obstacle in preparing internal candidates for succession, as the selection of the internal candidate is not guaranteed. The advertised vacant post cannot be earmarked for a specific internal candidate. Even an attempt to identify potential successors for a post could be challenged by staff members as being unfair. Therefore, according to this rationale, the organizations cannot afford to identify and prepare internal candidates, because: (a) their selection is not guaranteed, and (b) their identification and membership of talent pools could be considered as depriving other internal candidates of an equal and fair opportunity to grow and to develop a career in the organization.

134. Although international financial institutions do not tag staff members to a specific post to be vacated, they prepare their staff for succession. OECD has open competitive recruitment and also advertises its posts externally. However, the organization is convinced that its practice of developing its staff members and preparing them as internal candidates without earmarking has to continue, even if they may have to compete with external candidates for vacant key posts. Similarly, staff from PricewaterhouseCoopers suggested that staff development with a view to succession to key positions starts quite early in their organization, and they find it a

good practice as their staff members gradually acquire all the experience and skills that will be needed later to get to critical senior positions.

135. Interviewees from some organizations mentioned the negative psychological aspects of preparing internal candidates for succession in vain, when candidates are not selected for vacant posts, despite their assessment, development and pre-approval. For example, some officials mentioned the frustration of internal candidates who are on a list to be considered for senior posts and are never selected.

C. Preparation of potential key talent

Benchmark 5

The organization communicates in a transparent way the staff development and career path requirements for staff members to be considered as potential candidates for succession to critical roles and positions; the organization provides staff members who are identified as potential talent with learning and development opportunities that will allow them to fulfil the responsibilities of those roles and positions.

This requires that:

(a) All staff members irrespective of their category and grade have access to regularly updated information about the requirements of critical roles and positions within the organization;

(b) The organization provide all the necessary tools and services for developing individual career paths from the early stages of staff members' careers;

(c) The organization provide equal opportunities to all high performers and qualified staff members who have the potential to advance;

(d) The organization inform its talented officials of their own responsibility to engage and grow, taking advantage of the learning opportunities offered, without giving any guarantee about whether and when they will be able to advance.

136. Box 10 contains some of the general principles that CEB suggested the organizations should apply in succession planning.

Box 10. Succession planning general principles proposed by the CEB secretariat

- The criteria and process should be transparent and communicated to all staff in the organization;
- It should take into account the aspirations and motivations of the individuals involved (not only what they can do, but also what they want to do);
- Individual expectations should be well managed.

137. Succession planning should seek to identify possible successors at an early stage, before the need to fill a vacancy arises. Forecasting longer-term succession needs and building capacity accordingly help to prevent gaps in critical positions.

Learning and leadership programmes

138. Many learning programmes for leadership development are provided by the United Nations system organizations (see annex III) and by other international educational institutions or associations. AHRMIO organized a conference on leadership in September 2015. Many of these leadership programmes are now based on the "10-20-70 learning formula" or "rule for leadership development". This formula reflects the ratio of learning devoted to the following three learning methods: 10 per cent of structured learning (coursework and training); 20 per cent of social learning (developmental relationships); and 70 per cent of workplace learning (challenging assignments). This rule emerged from 30 years of the "Lessons of Experience" research conducted by the Center for Creative Leadership, which is one of the oldest leadership laboratories worldwide.[109] OECD provides its staff members who have the potential for promotion from P-4 to P-5 level with a one-week "Emerging Leaders Programme" offered by an academic institution. About 15 to 20 staff members attend this programme annually. Moreover, once a year, OECD organizes executive leadership seminars as part of its annual event "OECD Leadership Development Week" for its staff members in leadership roles at P-5 level and above.

139. UNSSC offers five leadership courses, each lasting three to five days. The United Nations Leaders Programme is for directors at the D-1 and D-2 levels from the United Nations and all its agencies, funds and programmes. The programme combines theory, practice and self-reflection on key global or regional themes for the United Nations system. The United Nations Country Team Leadership Skills Course is an initiative that brings together senior-level UN Country Team members including Resident Coordinators, Country Representatives and their deputies from the United Nations and all its agencies, funds and programmes. The programme seeks to increase knowledge and strengthen the skills required of leaders in United Nations country teams. UNSSC has also designed the Leadership, Women and the United Nations programme, which gives mid- and senior level (P-4, P-5 and above) female staff members from across the system opportunities to network and learn from each other's experiences. Staff members at P-3 and P-4 level are the target audience of the course United Nations Emerging Leaders Experience. Lastly, the United Nations Leadership Forum provides further training for the alumni of the first two courses.

140. Most participating organizations benefit from their partnerships with renowned academic institutions or their membership of world-leading international non-governmental non-profit organizations such as AHRMIO, IPMA-HR and CIPD. These institutions hold conferences and organize courses on human resources issues. However, owing to the considerable corporate membership fees, some organizations cannot afford to subscribe to many of these entities. Nevertheless, heads of human resources encourage their staff members to subscribe in their personal capacity as human resources practitioners employed by international organizations. The World Bank Group and the International Monetary Fund play an active role in the development of human resources management trends through their active participation in AHRMIO. This Association seems to be a cross-fertilizing forum for ideas coming from the participants of the CEB/HLCM Human Resources

[109] Meena Surie Wilson and others, "Grooming top leaders: cultural perspectives from China, India, Singapore, and the United States", Center for Creative Leadership White Paper (2014).

Network and the respective network of human resources practitioners at the international financial institutions.

Reluctance to invest in preparing potential talent

141. In 2009, the CEB secretariat invited the CEB/HLCM Human Resources Network to discuss the development of policies for succession planning in organizations of the United Nations system, in accordance with the recommendation of the JIU report and the report of the United Nations Secretary-General in investing in people (A/61/255). The second point in the CEB proposed framework for developing a succession planning policy (see box 1 above) clearly states that, in addition to the human resources that should play an essential role in facilitating the process, every manager should be responsible for identifying and nurturing talent in his or her area of responsibility.

142. At the United Nations Secretariat level, the succession management programme in the DFS Field Personnel Division, introduced in early 2015, is the only programme aimed at grooming candidates with high potential, in order to allow DFS to strengthen its succession capacity in all critical mission support leadership positions.[110] Nevertheless, this programme appears to be an exception even within the Secretariat. As at 2015, most United Nations system organizations seem reluctant to invest in succession planning by preparing potential internal candidates for key positions. Interviewees from the private sector and OECD, however, emphasized that such investment has to start early in the career path of a staff member.

143. It would seem that FAO human resources officials support such an early investment in time and resources. However, the Organization considers that the effort involved in identifying several potential successors for each key post is a substantial investment that it cannot make at the present time. UNICEF also seems to be cautious about the cost of investing in assessing and training successors and is looking into statistics on returns on the training cost. UNICEF is examining whether the expenses related to leadership programmes have paid off, namely, whether the trained staff members have been promoted and have taken on leadership roles after having completed the relevant courses. ILO admitted that the Office needs to invest more in preparing its staff to take on managerial roles and responsibilities.

144. The organizations have no targets for the number of staff members who should be prepared as potential successors for each key position. They have set no number as an ideal bench strength for each and every key position. Only UNHCR affirmed that it will, in the near future, start creating benches of three candidate successors for each key position, thus matching the market standards mentioned in paragraph 125 above. Overall, the training courses that the organizations offer do not take into consideration accurate estimates of the number of staff members who need training in order to fill the skills gaps in order to constitute the ideal bench. Moreover, most of the participating organizations that responded to the questionnaire were not able to answer the questions about the cost of specific training courses aimed at preparing staff members for key roles.

145. The Inspector took note of the fact that the current ICSC Framework for Human Resources Management requires that human resources managers must assess

[110] Eva Garcia, "Succession management programme" (DFS, October 2014), p. 3.

how a well-trained and flexible workforce can best be maintained to meet the organization's changing and at times uncertain needs, namely for critical roles and functions. Human resources officials commented that the system should develop more "marketable" professionals. Such development efforts and increased exposure would also support inter-agency mobility and the exchange of staff members.

146. UNHCR and ILO are providing training and coaching to officials interested in the United Nations Resident Coordinator positions. In addition, UNICEF has participated in the inter-agency pilot initiative on Building Inter-Agency Field Leaders, which was introduced in 2014 by OCHA. Under this initiative, agencies send their staff to other agencies in leadership posts in order to expose them to leadership practices at the field level. The focus has been on women from programme countries. UNFPA, in addition to participating in that initiative, is one of the six agencies participating in the Resident Coordinators' working group.

147. The implementation of the following recommendation is expected to disseminate good or best practices aimed at enhancing the effectiveness and efficiency of current and future succession planning practices.

Recommendation 3

The executive heads of the United Nations system organizations should instruct their human resources management offices to adopt the benchmarks set out in the present report with a view to ensuring that their organizations have a sound succession planning process, and should report on the progress made to their legislative/governing bodies.

V. The way forward

Setting the tone: succession planning is an urgent matter

148. This review revealed that succession planning, important as it is, is not considered a priority in any United Nations system organization. However, the alarming demographics in most of the organizations across the system do not allow them the luxury of waiting any longer. The organizations have to expedite short-term succession planning without delay, as well as long-term succession planning. This will enable them to prevent loss of institutional memory, interruption of knowledge transfer and business continuity in their leadership, and other crucial functions.

149. Executive heads should promote succession planning either by supporting the ongoing efforts in this area or by pushing to initiate such efforts within their organizations. They should request the collaboration of all their top management and the heads of their human resources services, and closely monitor the development and implementation of a road map accompanied by a concrete fast-track action plan, including accountability and timelines for all those involved. Executive heads should start taking action within existing resources without any further delay.

Preparation of competitive internal candidates: the need for targeted investment

150. In recognition of the fact that staff members are the organizations' most vital asset, the organizations have to recognize the importance of the people who lead and manage this asset, as well as those who discharge a critical function that has an impact on all staff. Preparing distinguished and well qualified talent already on board for future leadership, or any other critical roles, and wishing to retain it is absolutely legitimate. Training internal candidates does not contradict the principles of fairness and open competition, which are applied equally to external candidates when recruiting. Equipping staff members with up-to-date skills while serving the organization's vision and goals is imperative in order for them to successfully serve the organization.

151. During their service, staff members — for the benefit of their own organization — have to continue growing in order to remain "marketable" and maintain, or obtain, the same professional standards that any industry would like to attract and recruit. Preparing talented staff members who are able to compete successfully with their peers from inside or outside the United Nations system for promotion to key positions and roles within their organization should not continue to be considered as a waste of resources but rather an investment with a return. Member States should see how inter-agency mobility could benefit from such preparation and grooming of talented staff members across the system.

Starting focused succession planning now

152. Preparation for succession planning should start early and follow clearly defined pathways leading to the higher echelons or more critical functions of the organization. The organization establishes the criteria that have to be fulfilled and the qualifications and skills that staff members need to obtain in order to follow certain career paths leading to leadership or other critical roles. Analysis of the workforce trends and a clear estimate of figures of key posts and roles across the organization are prerequisites for making an informed decision on the organizational bench strength, namely, the exact number of potential candidates for succession that should be prepared internally for each key position and role. Nevertheless, in order to avoid delaying the development of formal succession planning, the organizations could start as soon as possible with one priority area, ideally the most risky and most easily quantifiable one. This is the starting point for establishing a complete business case covering all the risk areas and critical functions, as CEB advises in its proposed framework (see box 1 above), and developing a framework for a succession planning strategy in each organization. Either through immediate action or through gradual expansion from key priority areas to all areas, the establishment of the business case will help the organization to make a targeted and well placed investment in resources for its future, preparing the next generation of leaders and other key staff members for future roles.

Restarting system-wide discussions on succession planning immediately

153. As was observed at the beginning of this report, the system-wide discussions focusing on succession planning that were initiated in 2009 in the framework of the CEB/HLCM Human Resources Network have been discontinued. The members of the Network should anticipate the introduction of succession planning as a new indispensable component in the revised ICSC Framework for Human Resources

Management, as underlined in paragraph 28 above, and restore the dialogue and exchange of ideas and good practices.

154. The implementation of the following recommendation is expected to strengthen coherence and dissemination of good practices among the organizations.

Recommendation 4

The Secretary-General of the United Nations, in his capacity as Chair of the United Nations System Chief Executives Board for Coordination, should ensure that succession planning is reinstated as a main agenda item of the Human Resources Network of the High-level Committee on Management, and given the utmost attention and most serious consideration in the future sessions of the Network.

Annex I

Drawing lessons from the public service of the Canadian Province of New Brunswick

Six Myth Busters: Myths about Succession Planning

1. **Myth: Succession planning involves focusing on a small number of high potential employees and preparing them to be successors for critical positions.**

Truth: The process of identifying critical positions is ongoing and addresses potentially hundreds of positions in Part I of the public service. Many variables, including language and budget, will affect the number of employees who can be developed for these roles, but the scope exists to involve a large number of employees in development and knowledge transfer activities that will improve their readiness to compete for upcoming opportunities.

2. **Myth: Succession planning only benefits the organization in the long term.**

Truth: It is true that effective succession planning processes take a long-term view and must be sustained for a number of years to deliver optimal benefits. However, building capacity in our employees can have a positive impact on the workplace almost immediately. When we develop, attract and engage talented employees, they contribute immediately to the quality of services delivered to New Brunswickers and to the achievement of business goals and priorities. In addition, the individuals who are developed experience a number of benefits, such as guidance in career planning, help in reaching their career goals, feeling recognized and valued for their contributions, etc.

3. **Myth: Succession planning requires a large learning and development budget.**

Truth: Having resources available for employees to participate in formal learning opportunities such as classroom sessions or conferences is definitely important, but more than half of learning occurs on the job through new experiences or challenging assignments. Providing support for on the job learning, mentoring, coaching and ongoing feedback have very limited direct costs and are valuable ways to build skills.

4. **Myth: Employees need to be in a position for a certain number of years before they are ready to move upward.**

Truth: There are classification standards in the New Brunswick public service that outline the minimum amount of education and experience, and the equivalencies that are required for a position. These requirements are not expected to change except in cases of chronic skills shortages, which may warrant revisiting the requirements to determine if they are still valid. By identifying critical positions of interest, employees can see what the gaps are between their current levels of education and experience and what is needed for the positions to which they aspire. They can then establish specific plans to close those gaps in consultation with their managers.

The Government of New Brunswick also assesses candidates for positions based on competency profiles that address the knowledge, skills, abilities and behaviours required to perform successfully in a given position. While experience is an important part of developing proficiency in a competency, there are no pre-set requirements for how long it takes to move from one level to another. Succession planning will provide some employees with formal opportunities for competency assessment and development. Employees who are interested in developing their competencies can also engage in self-assessment and development activities, such as volunteering for leadership and other roles in not-for-profit organizations or community activities.

5. Myth: Succession planning is only about developing people to take on leadership positions.

Truth: Many critical positions involve leadership responsibilities, but there are also a range of critical positions that require other competencies or specialized professional and technical skills. Also, many of the opportunities that emerge may involve lateral rather than upward mobility. For employees who are not interested in taking on leadership roles, there may be opportunities such as cross-training, job rotations or other assignments that enable them to build skills and competencies that will be important in the future.

6. Myth: Things are changing so fast at work it is impossible to plan for the future.

Truth: While it is impossible to predict the future, by scanning both the internal and external environments, watching trends and anticipating risks, we can get a general idea of major changes that may occur and how they will impact the workforce. Incorporating this information into our attraction, engagement and development activities will assist us in being more prepared for the future.

Source: Government of New Brunswick Public Service, "Succession planning: a leader's roadmap for identifying and developing tomorrow's leaders today" (Canada, December 2010).

See www2.gnb.ca/content/dam/gnb/Departments/ohr-brh/pdf/cdt/succession_planning_guide-e.pdf.

Annex II

Reference to succession planning (SP) and workforce planning (WP) in instruments and reports of JIU participating organizations (POs)

Participating organization	Reference to SP/WP in human resources and other strategies	Reference to SP/WP in human resources policies, guidelines or action plans	Reference to SP/WP in relation to priority areas such as retirements	Reference to SP/WP in reports and other documents
United Nations and funds, programmes and offices				
United Nations*		**Mobility, Report of the Secretary-General A/70/254* (31 July 2015)**: To ensure that […] selection and lateral movement […] satisfy the human resources and other priorities set by the Organization as a whole, a workforce planning approach is being developed that is specifically tailored to the framework. The network staffing teams will be supported by a dedicated workforce planning component, which will work in close cooperation with departments and offices. Workforce planning activities will address both the immediate situation in a given job network during a vacancy or managed mobility exercise and the forecasted future situation. (para. 47) The workforce planning approach will focus on talent demand and supply, as well as on gap analysis […] The analysis will be used to better	**Overview of human resources management reform: mobility, Report of the Secretary-General A/69/190/Add.1 (22 August 2014), para. 35** Workforce planning activities […] will enable the network staffing teams to gain a good understanding of the retirements, separations and position occupancy periods of staff, as well as of organizational imperatives such as gender and geographical distribution.	**Overview of human resources management reform: mobility, Report of the Secretary-General A/69/190/Add.1 (22 August 2014), para. 35** Workforce planning activities will be built into the semi-annual staffing process as the job networks are launched […] In addition, workforce planning will provide insight into existing talent and the talent required in each of the job networks and help identify the talent gap.
Department of Management				**United Nations Workforce Planning, Medical Services Division Pilot Project Presentation to OHRM Directors (24 July 2014), p. 4** Strategic workforce planning is a continuous process that involves five essential steps.

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(*instruments and policies apply also to POs: **UNCTAD, UNEP, UN-Habitat** and **UNODC**)		target outreach (for external applicants to fill vacancies) and in reach (for internal staff members to fill vacancies and to participate in managed mobility) activities. It will also be used to make decisions about the types of training, learning and development tools that may be required to help to prepare staff to move to new roles. (para. 48) The workforce planning data analysis, along with performance indicators relating to the organizational priorities [...] captured through the scorecard and any other relevant information on human resources issues [...] will facilitate and guide [...] deliberations on selections. (para. 49)		
OCHA	**OCHA Strategic Plan 2014-2017, Goal 1, strategic objective 1: Leadership, p. 16-17** Put the right leaders in the right places at the right time [...] OCHA will, in collaboration with relevant partners, continue to strengthen and support humanitarian leadership in the field [...] To avoid critical gaps in leadership, better succession		**OCHA/ASB Work Plan 2014-2017, Goal 5: Support development and management of talent, output 5.1.4** Tasks: Establish quarterly meetings to identify vacant posts on divisional or branch level (retirements, separations, other).	

Participating organization	Reference to SP/WP in human resources and other strategies	Reference to SP/WP in human resources policies, guidelines or action plans	Reference to SP/WP in relation to priority areas such as retirements	Reference to SP/WP in reports and other documents
	planning will be implemented and supported by advocacy to address political impediments to deployment.			
Department of Field Support	**Global field support strategy (A/68/731, annex I) (31 January 2014)** **para. 9** Specifically, the Field Personnel Division, working with relevant interdepartmental partners and field missions, will realize the following achievements by the end of June 2015: (a) A workforce planning framework is in place, based on lessons learned from civilian staffing reviews, that leads to a comprehensive understanding of current and projected requirements, with established tools to meet readiness and capacity gaps and development of a standard workforce model to support start-up and ongoing missions […] (d) A succession management concept and plan are in place and ready for implementation, focusing on the senior resources management level, including director/chief of mission support, deputy director of mission support, chief of administrative services, chief of integrated support services and chief human resources officer.	**Succession Management Plan for Senior Key Positions in Field Operations (CMS, DCMS, DMS, DDMS), DFS (12 February 2015)** Main Objective: A two-pronged approach model is proposed to achieve (a) an enhanced understanding of the key strategic competencies required to successfully perform in senior level key positions, and (b) a robust talent pool of candidates (i.e. rosters at P-5, D-1 levels) assessed against those strategic competencies through a comprehensive assessment center. **Eva Garcia, Succession management programme (DFS, October 2014)** **Coversheet – Abstract** The purpose of this paper is to present a concept and a plan for the development and implementation of a succession management programme for mission critical senior posts […] **Rationale, p.1** The succession management		**Mapping out a Succession Management Plan for CMS/DCMS/DMS/DDMS : Talent Management, DFS presentation, (2015), slide 1** Key positions: support mission's mandate implementation through effective management of assets, budget and human resources/Talent pool: the "just right" talent ready to be deployed just at the "right time".

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	Draft global support strategy for the United Nations Field Operations (ver.8), annex II - Improved Human Resources Management Framework, DFS (as at 1 September 2015) Rapid deployment of internal civilian capacities is further facilitated both through contractual arrangements free of limitations of movement and succession planning for replacements. (para. 9) Within the improved field human resources management support framework, increased emphasis is placed on strengthened assessment and succession planning mechanisms, which reflect and adapt best practices from within and outside of the United Nations common system, for senior leadership positions at the P-5 level and above in peacekeeping operations. (para. 25) Succession planning: Development of terms of reference for Succession	programme proposed in this paper is the critical talent management tool required to build a talent pool to expedite service delivery to field operations and to have the just-right candidate ready to step into field key positions in the event of a vacancy.		

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	Planning Panel outlining the succession planning processes for senior management positions in support functions; assessment, certification and training mechanism for senior leadership development. (para. 62)			
UNAIDS	**UNAIDS secretariat strategy on human resources 2011-2015, section C, para. 17 (a)** The Strategy is built on eight interactive elements to ensure that UNAIDS is fit for purpose and employing the best people in the right place at the right time through planning for, attracting, developing and retaining highest quality staff. These elements are as follows […]: a. The UNAIDS Competency Framework; b. Workforce Planning; c. Recruitment and Staffing; d. Staff Administration; e. Staff Development, Career Growth and Mobility; f. Performance Management; g. Staff Well-being; h. Human Resources Information.	**Recruitment at UNAIDS: UNAIDS information note, HRM/IN 2015-4 MER / HRM (25 May 2015), para. 7, p. 2** The Department of Human Resources Management (HRM) […] supports timely workforce planning. (Mobility Policy and Procedures: UNAIDS information note, HRM/IN 2014-4 MER/HRM (15 Dec. 2014); Performance Management Policy: UNAIDS information note, HRM/IN 2015-9 MER/HRM (4 Aug. 2014); People Development and Performance Policy and Guidelines for the UNAIDS Secretariat, Human Resources Management Division, Organizational Development Department, Feb. 2012: **Provided by the PO, but n/a)**		
ITC	**ITC People Strategy 2014-2016** Among HR responsibilities: Provide policies, tools and support to enable skills development, succession and workforce planning, career		**Human Resources Report – Quarter 2 – 2015, para. 4, p. 13** Table on workforce planning / upcoming retirements (as at 7 July 2015)	**OIOS, Audit of human resources management at the International Trade Centre (Assignment No: AE2013/350/01) Draft audit report, para. 45 (rejected**

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	management and reward mechanisms. (p. 11) [ITC operational priorities by 2016 include]: research options surrounding succession and workforce planning system (goals 2, 3, 4 and 5). (p. 16)			**although in line with its strategic goals):** ITC should develop a formal plan and timeframe for the implementation of its strategic workforce planning system.
UNDP	**Human Resources in UNDP: A People-Centered Strategy 2008-2011** (obsolete, but not replaced yet) Filling the staffing gaps will require, effective succession planning, as well as sustained staff development. (p. 5) Talent sourcing requires advanced planning by the professional units who have to define the number and quality of workforce they need to fulfil their mandate. These planning efforts will be supported by a continuum of tools and policies provided by the Office of Human Resources (OHR) ranging from workforce analytics, competency profiles [...] and succession planning. (p. 8) A succession planning system will be implemented to strategically source national and international staff candidates for open positions matching their preferences and qualifications with the requirements of the positions. (p. 10) OHR will develop its capacity to	**Candidate Pool – Guidelines (8 October 2010), p. 1** UNDP's Succession Planning goals are defined by this organization's ability to: -Provide new opportunities and challenges to staff -Ensure that staff feel they have a stake in the fortunes of UNDP -Identify suitable candidates for positions in a transparent and consistent manner -Provide opportunities to move laterally across organizational units -Reward managers who empower, nurture and promote talent -Define career paths that move across specializations and not are limited to focus areas -Build a workforce that is balanced in gender and diversity -Ensure that all staff have a career/ development plan (Selection and Reassignment Policy for International		**UNDP Audit report No. 1109 on the Office of Human Resources, OAI (12 August 2013), p. 13, recommendation 10** OHR should develop and implement a mechanism for strategic workforce and succession planning, which includes formulating policy and providing guidance to ensure that the organization's future staffing requirements are met and that key roles are filled in a timely manner to support the achievement of organizational objectives. The policy should clearly set out the roles of OHR as well as the hiring units and include requirements for regular progress monitoring and reporting.

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	analyse workforce needs, monitor policies and initiatives, and play a qualitative role in succession planning. (p. 11) OHR has been moving from a personnel administration structure towards a more strategic HR management role, and transferring the authority and responsibility for day-to-day HR matters to line managers. This revised approach focuses on performance and talent management, succession planning and personal development. (p. 20)	Rotational Posts – Effective 1 October 2010: Provided by the PO, but n/a)		
UNFPA	**UNFPA Human Resources Strategy 2014-2017, p. 12** In order to achieve results, before the end of 2017 UNFPA will have [...] talent pools populated by candidates ready for placement in critical positions.	**Policies and Procedures Manual, Policy on Personnel of UNFPA, Fixed Term and Continuing Appointments: Staffing, annex II: Selection and Reassignment Process for International Rotational Posts (September 2013)** The Director of the Division of Human Resources (DHR) (or designee) may make an annual evaluation within the context of succession planning and UNFPA's corporate priorities of UNFPA's future rotational post staffing needs (the "demand forecast").		**UNFPA Internal Audit and Oversight Activities in 2008: Annual Report of the Audit Advisory Committee, annex 2 DP/FPA/2009/5 (8 April 2009), pp. 24-25** The Audit Advisory Committee is regularly updated on progress in UNFPA restructuring [...] the multi-layered transformation of UNFPA underscores the importance of comprehensive succession and workforce planning as part of the Fund's human resource strategy and business continuity planning. (para. 13) However, it is critical that the Division for Oversight Services has the capability needed and resources required to ensure that sufficient

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				coverage exists in internal auditing, evaluation and investigation work at UNFPA, and that suitable succession planning is undertaken. (para. 23)
UNHCR	**UNHCR's People Strategy 2016-2021, p. 15** Undertake succession planning, including the development of leadership pools, to cover all critical positions, especially those held by likely retirees.	**UNHCR's People Strategy 2016-2021, p. 12 Actions** -Develop an up-to-date picture of the current skills mix and capacities within UNHCR [...] -Establish strategic capacity to assess data sources for trends and better inform workforce planning and decision-making. -Design tools and systems supporting the assessment of both current and future capacity gaps, as well as projected staffing needs.	**UNHCR's People Strategy 2016-2021, p. 15** Undertake succession planning [...] to cover all critical positions, especially those held by likely retirees.	
UNICEF		**UNICEF Guidelines on Senior Staff Rotation and Reassignment Exercise (SSRRE) 2015 (November 2014), para. 44** The Senior Staff Rotation and Reassignment Exercise (SSRRE 2015) is a corporate exercise to pursue systematic and timely succession planning for senior positions within the Organization and facilitate the identification of the most suitable candidates to serve as UNICEF leaders globally.	**Progress made in human resources management in UNICEF, E/ICEF/2010/AB/L.9 (13 July 2010) para. 24, p. 8** Succession management and leadership development are currently being prioritized to ensure the highest possible level of continuity in management and programme implementation. Consideration is also being given to possibly delaying the current retirement age, although this must be balanced with ensuring that sufficient opportunities exist for new talent.	**2013 Annual Report, DHR, Progress made in human resources management in UNICEF, E/ICEF/2010/AB/L.9 (13 July 010), pp. 3-4** DHR developed and drafted comprehensive business requirements in a request for proposal for an integrated talent management system solution of six critical HR work areas: [...] strategic workforce planning, career development, and leadership/succession planning. Strategic Workforce Planning (SWFP), evidence-based management and analytics

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				continue to support and feed organizational objectives in order to drive higher results delivery for DHR. The strategic forecast of human capital needs especially in critical functional areas allows for a solid foundation in workforce planning, talent recruitment and resourcing efforts at country, regional, HQ levels. These analyses are fundamental and support other areas of core HR priorities (e.g. Leadership, mobility and rotation, career and staff development, outreach, succession planning, learning, global talent management). Talent (succession) planning is a strategic approach to ensuring a ready supply of qualified talent to meet demands on the ground. The workforce metrics approach will determine the demand for talent and capacity available and identify the gaps. Talent planning will focus on the supply of talent and possible non-traditional sourcing strategies to acquiring the needed talent. (para. 44) Succession management and leadership development are currently being prioritized to ensure the highest possible level of continuity in management and programme implementation. (para. 24)

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UNOPS		**Talent Management Framework, UNOPS Organizational Directive No. 39 (rev. 1) (1 September 2015), para. 3.3, p. 4** Through the Talent Management Framework, UNOPS establishes an integrated talent management approach including strategic workforce planning, succession planning, talent benches, recruitment and selection, performance management and learning, to ensure that the organization is well placed for current and future staffing needs. **Talent Management Framework, UNOPS Administrative Instruction AI/PCG/2015/01 (1 September 2015), p. 3** "Talent benches" are internal rosters for business critical roles. Talent benches are designed to further strengthen UNOPS capacity to identify internal talent and to enable succession planning for business critical roles that UNOPS will recruit for periodically. The talent bench members are those candidates who have been assessed and		

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		endorsed as most suited to the foreseeable needs for these recruitments.		
UNRWA				**2013 International Staffing Report, p. 24** Staff development should be considered as an integral part of succession planning.
UN-Women				**Report of the Audit Advisory Committee for the period from 1 January to 31 December 2014 UNW/2015/4/Add.1 (1 May 2015), para. 16, p. 3** UN-Women is reassessing its recruitment processes, including options for introducing talent management and succession planning, as well as developing and implementing a rotation and mobility policy.
WFP	**WFP People Strategy: a people management framework for achieving WFP's Strategic Plan (2014-2017), WFP/EB.2/2014/4-B, para. 49, p. 14** WFP is designing a career framework that identifies the experiences and capabilities needed for the future, and the career paths and roles required to acquire them. Staff skills will then be assessed, and learning needs identified. The framework will enable WFP to make informed workforce decisions, including on staff development,			**WFP Professional Staff Association (PSA) Workforce Planning Model Report (10 November 2010)** A study commissioned by the Professional Staff Association to examine workforce-related practices.

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	talent redeployment/reassignment and succession planning, while supporting employees' career choices by articulating career possibilities and paths.			
Specialized agencies and IAEA				
FAO	**Human Resources Strategy (April 2014), annex I , p. 10** C.5 Train client areas in the functionality of the HR Management Information System (HRMIS) and support them in generating clear, concise reports on their workforce in order to support HR planning, including succession planning and post creation/abolition.	**Human Resources — Action Plan Revised January 2015 — Implementation of the Human Resources Strategy, p. 2** These initiatives aim to develop a workforce planning framework in line with FAO's Strategic Objectives to support HR planning and develop comprehensive Generic Job Profiles (GJPs) to support organizational design, workforce planning and staffing processes. **FAO Operational Workforce Planning Guidelines (as endorsed by CPMB 2013/8) (29 August 2013), p. 1** Workforce planning is undertaken in order to ensure that an organization has the right people, with the right skills and competencies and at the right time. The process is based on priorities expressed through the operational work plans and provides FAO managers and HR professionals with a tool for making human resource		**Progress Report on Implementation of the Human Resources Strategic Framework and Action Plan FAO FC 154/11 (March 2014), para. 31, p. 7** A set of standard HR reports is being defined and these will be made available to staff working in HR across regions and to Managers and Department heads to facilitate their analysis of the workforce and future needs (e.g. succession planning, gender/geographic distribution etc.). **Human Resources Action Plan (Revised January 2015) Implementation of the Human Resources Strategy, Table box 1, p. 2** Major activities in 2015: Develop and introduce a workforce planning framework.

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		decisions now and also into the future. In summary, workforce planning aims to predict the future demand for different types of skills and seeks to match it with supply of staff.		
IAEA	(IAEA Medium Term Strategy 2012-2017, excerpt — p. 8) Provided by the PO, but n/a)	**Part II — Personnel Administration and Staff Welfare (AM.II/1), p. i, sect. 1: Staff Regulations and Staff Rules (1 June 2015), rule 2.01.1, posts** The term "post" signifies an authorization to employ a person or a succession of persons for the performance of work required by the organization. (Part II — Personnel Administration and Staff Welfare AM.II/3, Page i, Section 3 — Staffing - - Issued: 2015-02-09; **Provided by the PO, but n/a)**	**IAEA, The Agency's Financial Statements for 2013, IAEA GC(58)/5, p. 119, recommendation 11 (c)** Engaging former staff and retirees as consultants may be reviewed with the goal of ensuring that thorough succession planning is put in place so that the departure of a regular staff member does not leave a skill gap in the Agency. The Management may ensure that staff who are approaching retirement complete their assignments before retiring, to reduce the need for consultants. **The Agency's Financial Statements for 2014, IAEA GC(59)/3, Response of the Management indicating action taken on past external auditor's recommendation, p. 164** (c) Engaging former staff and retirees as consultants may be reviewed with the goal of ensuring that thorough succession planning is put in	**IAEA, The Agency's Financial Statements for 2013, GC(58)/5, p. 117** The Agency does not have a strategy for transferring and developing knowledge in areas where it regularly needs consultants nor does it have a well-defined succession plan to fill in the skill gap left by the departure of a staff member. **p. 119, recommendation 11 (b)** A provision for knowledge transfer may be added so that the Agency is not dependant on particular consultants repetitively or for a longer duration. The need for appropriate succession management and knowledge transfer to the regular staff of the Agency should also be assessed and suitable measures taken. **The Agency's Financial Statements for 2014, IAEA GC(59)/3, Response of the Management indicating action**

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			place so that the departure of a regular staff member does not leave a skill gap in the Agency.	**taken on past external auditor's recommendation, p. 164** Management considers the recommendation to be In Progress.
ICAO		**Draft ICAO Guide to Human Resources Planning (eHRAP Tool) (October 2015)** This [...] guide aims at providing references, examples, processes, and relevant documents, as well as how to use the :ool to record and manage the workforce planning for bureaux and offices. (p. 1) For the purposes of workforce planning, risk assessment is focused on two factors: the impact of the post and its results on the Organization; and the likelihood of the incumbent leaving the post. (p. 7) Evaluation and adjustment are essential in strategic workforce planning, as in any project management process. (p. 8)		
ILO	**ILO, Results-based strategies 2010-15: Human Resources Strategy — Refocusing human resources, GB.306/PFA/12/2 (November 2009), para. 11, p. 4** The Organization will develop the management skills to ensure	**ILO, Proposals arising from the Director-General's reform plan of action in the area of human resources management, GB.320/PFA/13 (6 February 2014), para. 4** As a knowledge-intensive		**ILO, Financial report and audited consolidated financial statements for the year ended 31 December 2012, ILC.102/FIN (2013), p. 38** The ILO should develop a succession planning process that

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	that staff are working in the right direction, with the proper guidance, coaching and feedback. In turn, a rigorous process of identifying and assessing management capacity, ensuring readiness and interest to lead, will be put in place. Appropriate management development and succession plans, and the training and mentoring necessary to execute these plans, will also be developed and implemented.	organization, the ILO's success largely depends on having the right people in the right place at the right time. This calls for systematic procedures and tools to identify current and future workforce needs, as well as strategies and plans to address these needs. Following recommendations by the External Auditors in 2011 and by the Independent Oversight Advisory Committee in 2012, the Office has taken actions to put tools and procedures in place to strengthen workforce planning. **ILO, Reform plan of action in the area of human resources management: Update, GB.322/PFA/9 (29 September 2014), para. 3** The newly launched Employee Profile tool is already proving to be an important tool for supporting effective workforce planning. (Office Directive IGDS Number 413 (Version 1) - Mobility policy within the ILO (23 January 2015), -Talent Management – Resourcing: High-Level Assessment for ILO Top Management positions. Provided by the PO, but n/a)		identifies what its key positions are; includes a mechanism for informing employees what the key positions are and what skills are needed for those positions; and includes a system for preparing employees for higher-level management positions. **ILO Report of the External Auditor to the GB for year ended 31 December 2011** (2015 Update on management response to recommendations on Human Resources – Succession Planning)

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IMO	(- Strategy, Planning and Reform: Review and reform of the Organization, Note by the Secretary-General, IMO C 109/3/1 (24 August 2012), - Strategy, Planning and Reform: Review and reform of the Organization, Note by the Secretary-General, IMO C 108/3/3 (11 April 2012).) (Provided by the PO, but n/a)	**Building blocks of a career development system at IMO** (an IMO internal one-page document depicting the maturity status of a total of 20 blocks coloured in three colours for three different stages "not started /part done/finished"): The building block titled "Succession planning" is marked as partly done. (IMO Staff Mobility Programme, IMO Staff Career Development Programme, Human Resources Services Administrative Division (September 2013).Provided by the PO, but n/a		
ITU	**ITU Human resources management strategy and policy framework 2010-2014, annex 2, Chapter III, para. 35** Human resources planning is a process that identifies current and future human resources needs for an organization to achieve its goals. It means forecasting the organization's labour supply and demand, based on its business needs; and subsequently developing and employing the strategies required to meet those needs [...] Strategies are then developed to address the gap, which may comprise recruitment,	**Competency framework, annex 3** The strategy states that the competency framework and skills inventory is an indispensable tool for workforce planning and one should thus be developed by ITU. Core and Managerial Competencies need to be designed and tested across the Union, and then applied to support Human Resources functions. (p. 1) The competency framework is designed to provide a common language and to be used by	**ITU Human resources management strategy and policy framework 2010-2014, annex 2, Chapter III, para. 35** Human resources planning [...] includes planning for retirements (succession planning).	

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	internal staffing, development, training, contracting and partnering, and activities relating to downsizing [...] Human resources planning can be conducted at the organization level or at any component level, but clear understanding of and linkage with business direction is always a key success factor. It includes planning for retirements (succession planning).	multiple human resource functions including: [...] - vacancy management and workforce planning, - career development and succession planning. (p. 4)		
UNESCO				**UNESCO, Report by the Director-General on the human resources strategy, 186 EX/25 (18 April 11), annex I, section D, para. 8** Talent management is about attracting and retaining talented people committed to the values of the Organization. It requires that profiles and skills requirements are identified in advance (workforce planning) and that staffing strategies to address these needs are developed and implemented, thereby paving the way for an effective succession planning, ensuring programme continuity and avoiding staffing gaps. **UNESCO, Report by the Director-General on the Human Resources Management Strategy for 2011-2016, Information**

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				Document, UNESCO 37 C/INF.11 (23 August 2013), para. 5 New web-based tools incorporating Career Development, Performance Management, Competency Assessment, and Succession Planning have been purchased. Implementation is phased, starting with the development of the Career Center (to be launched in the third quarter of 2013) and the Performance Appraisal and Competency Assessment modules to be operational by 2014, followed by the Succession Planning module to be operational in the 2nd quarter 2014. **New Audits by the External Auditor, Part III, Audit Report on Forward-Looking Management of Jobs, Staffing and Skills, 196 EX/23.INF.3 (12 March 2015), annex 3, para. 1.1** An examination of the list of the 79 *mission-critical* posts, compiled on 16 September 2013, raises questions, however, about the nature of the posts that it was necessary to declare vital in order to ensure that they were filled, with 16 posts of directors/head of field offices are on the list

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				(New Audits by the External Auditor, Parts I-V – Short-Form Report - Audit of the UNESCO Multisectoral Regional Office in Nairobi, 196 EX/23 Part I, 3 March 2015 Provided by the PO, but n/a)
UNIDO		**Human Resource Management Framework, Administrative Instruction UNIDO/AI/2015/01 (16 March 2015), Chapter III, p. 4** This section describes the succession planning process and its two components, namely, placement of internal candidates [...] and the recruitment of external candidates [...]. As such, succession planning and related processes under this section apply to established posts that are filled by appointments under the 100 series of the Staff Rules financed through biennial budgetary resources. (para. 9) The succession planning process aims at identifying successors for posts and functions in advance; the candidates/successors must meet the highest standards of efficiency, competence and integrity. It ensures a competitive selection process that is simple and transparent		

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		and pays due regard to the geographical and gender balance requirements. (para. 11)		
UNWTO				
UPU			**Draft internal audit report on succession planning by Ernst and Young, UPU (October 2013), recommendation** Initiate the discussion with people above the age of 60 in order to plan the upcoming years and to initiate knowledge transfers (e.g. by preparing a plan or a schedule). **UPU response to the JIU questionnaire** Officials consider as succession planning the advance planning for the replacement of retiring staff.	**Draft internal audit report on succession planning by Ernst and Young, UPU (October 2013), recommendations** - Proceed with defining a list of key positions and get it validated by the Director General, and if deemed appropriate in consultation with the management. This list could also include different levels of priority of key positions. - Discuss the possibility to identify potential successors for key positions, indicating a timeframe regarding the readiness for taking up that position. This may include a formal and standardized evaluation of the employees of IB (e.g. measuring performance and potential). Address also the topic of favouritism in order to successfully establish a succession plan. - Assess the possibility to implement a rotation program in order to increase the knowledge of the employees. This may also facilitate the succession of specific positions.

Participating organization	Reference to SP/WP in human resources and other strategies	Reference to SP/WP in human resources policies, guidelines or action plans	Reference to SP/WP in relation to priority areas such as retirements	Reference to SP/WP in reports and other documents
WHO	**WHO, revised human resources strategy (EB134/INF./2)(10 January 2014), Pillar 2. Retaining talent: career talent career management, p. 2** Career management has four major components: workforce planning, performance management, career development and mobility. (para. 6) Workforce planning will be achieved through a skills inventory, staffing gaps analyses and succession planning. (para. 7) **Implementation** As the Organization's priorities change, so will its staffing needs. Succession planning, for example, can be effective only when there is a 5- to 10-year vision for the Organization's work and needs, and when the profile of the staffing needed for those priorities has been identified. (para. 15)	**Draft WHO geographical mobility policy (14 November 2014), para. 22 p. 6** A supervisor, with the approval of senior management at Assistant Director-General or Regional Director levels, may request in writing a management waiver to delay mobility for a staff member. For succession planning purposes, this request will normally be submitted and decided one year before the staff member completes his/her standard duration of assignment and in advance of the annual mobility exercise so that his/her post is not listed in the compendium of posts to be vacated the following year. (The Revised Selection Process for Heads of WHO Office (HWO), note for Regional Human Resources Managers, WHO HRD/GTM, Provided by the PO, but n/a)	**Human Resources Division Director Memorandum to Regional Directors (13 March 2015)** Following a succession planning exercise carried out by the Human Resources Division in the headquarters in 2013, the exercise is extended to the regional offices; the heads of regional offices are requested to select an adequate option for the future of the positions to be vacated due to retirements.	
WIPO	**WIPO, HR Strategy 2013/15, Annex II of Annual Report on Human Resources prepared by the Director General, WO/CC/67/2 (22 July 2013),** In addition to contract reform […] new HR policies have been developed on [...] internal mobility as well as guidelines on succession planning. (para. 39)	**WIPO, Develop organizational design: workforce planning guidelines (15 May 2015), p. 4** Workforce planning provides the foundation for managing an organization's human resources, enabling strategic planning to meet the current	**WIPO, HR Strategy 2013/15, Annual Report on Human Resources (WO/CC/67/2) annex II, p. 7** 1.5. Timely succession planning: Upcoming retirements will be included in an annual workforce plan. Posts becoming vacant due to retirement will be reviewed to	**Report by the External Auditor: Audit of 2011 Financial Statements, prepared by the Secretariat, WO/GA/41/4 (1 August 2012), p. 3, response to recommendation No. 3** WIPO is putting in place yearly HR planning reviews to support the work planning and its

Participating organization	Reference to SP/WP in human resources and other strategies	Reference to SP/WP in human resources policies, guidelines or action plans	Reference to SP/WP in relation to priority areas such as retirements	Reference to SP/WP in reports and other documents
	Another considerable risk to WIPO is the loss of knowledge and capacity with the departure of renowned intellectual property specialists. Measures to mitigate such risks include succession planning, training and appropriate career development incentives for highly specialized experts. (para. 47) **Annex II, page 4** The workforce realignments necessary to remedy the structural issues [...] are difficult to achieve in light of WIPO's low rate of staff turnover [...] Succession planning, recruitment strategy and other measures are needed to bring about the necessary realignment. WIPO employs some highly skilled and world renowned specialists in intellectual property. The loss of knowledge and capacity by the departure of such experts could expose WIPO to considerable risks. Measures to mitigate such risks must include succession planning, training and appropriate career development incentives. (annex II, p. 4)	and future workforce needs as well as preventing unnecessary surprises in maintaining a steady-state workforce [...] The goals of the workforce planning process are to provide/develop: [...] - A clear view of key open positions and needed realignment; - Succession plans for critical talent and key roles including flexible resourcing mechanisms; - An understanding of overall leadership and talent strength for WIPO; - An established process for thinking through and talking about workforce planning. **WIPO internal memorandum on preparation for submissions to the Program and Budget 2016/17 (15 January 2015), annex III: Detailed Guidelines for the preparation of the Program and Budget 2016/17, p. 7** Indicate why and when the fixed-term position is expected to be vacated, whether a replacement is needed.	determine the continued need, adequacy of profile and grade level. Any risks related to loss of institutional knowledge and mitigation measures are also part of the planning process. (Guidelines: Succession Planning (13 May 2013) obsolete and superseded: Succession planning is a process where the Organization seeks to anticipate its needs in connection with the departure of staff due to retirement. This will include consideration of current and future staffing needs, availability of internal talent, staff development and training, and the retention of key knowledge in Organization. Succession planning is an integral part of workforce planning which is conducted in the context of the biennial budgeting process.)	translation in terms of staffing needs. In this context, where appropriate, succession planning for key functions will be discussed and elaborated in order to ensure continuity of function, proper handover of knowledge and timely replacement of key employees. **p.4, response to recommendation No. 7** As stated in document WO/PBC18/17, "the comments have been noted and will be taken into consideration in the development of more systematic succession planning". Meanwhile, the Director General has asked all program managers to come with a proposal on how to use a vacated post latest nine months prior to separation from service of the incumbent in order to allow sufficient time for succession planning, transfer of knowledge and recruitment.

Participating organization	Reference to SP/WP in human resources and other strategies	Reference to SP/WP in human resources policies, guidelines or action plans	Reference to SP/WP in relation to priority areas such as retirements	Reference to SP/WP in reports and other documents
		WIPO internal memorandum on post management guidelines (13 June 2014) Your proposal should include the following succession planning elements: - Assessment of risks of loss of critical knowledge/competencies; - Measures to be taken for the safeguarding/transfer of knowledge held by the retiring staff member; and - Proposed time plan for managing the succession.		
WMO		(WMO Standing Instructions (Statement of Basic WMO Human Resources Policies and Procedures), Human Resources Division, July 2015, Chapter 4. Provided by the PO, but n/a)	**WMO, Report of the meeting of the Financial and Human Resources Review Committee, Office of the Secretary-General 1/2015 (13 May 2015), para. 6** The meeting examined the succession plan until May 2016 noting the retirement within a short time of 2 positions in aeronautical meteorology and 3 positions in development and regional activities [...] and underlining the importance of selecting candidates with a potential for career development and the need to initiate the recruitment process in due time [...] The meeting further noted the importance of the succession plan for re-profiling or restricting Secretariat functions depending on the need.	**WMO interview notes**: The interviewees stated that they consider workforce planning as part of the quadrennial budget exercise, which forecasts the human resources needs of the organization for the next four years.

Annex III

Comparison of current succession planning practices in taking the basic steps of succession planning

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
United Nations and funds, programmes and offices			
United Nations* (*policies apply also to POs: **UNCTAD, UNEP, UN-Habitat** and **UNODC**) **Department of Management** **Department of Field Support** **Department of Public Information**	The workforce planning pilot project of the United Nations Secretariat, as a key activity in identifying and defining the talent demand for the piloted MSD/OHRM/DM, segmented the workforce of this Division into four role types. This segmentation put at the top of the list the "critical" role type, which represents 10-15 per cent of the workforce of MSD/OHRM/DM. The pilot project defines as critical "roles that, if vacant or encumbered by individuals who are not top performers/ fully performing pose a significant risk to the execution of the strategy". The United Nations Secretariat considers as key positions some senior level support functions in administration, research/knowledge generation, programme management and knowledge delivery, which are discharged by senior General Services staff members (G-7 level).		
	The DFS succession management programme earmarked positions considered to be critical owing to the complexity of the role, impact on mandate delivery, resources and execution of the mission support business plan. The mission critical senior posts are those of Chief Mission Support (P-5 to D-1), Deputy Director Mission Support (D-1) and Director Mission Support (D-2).	The pilot United Nations DFS Assessment Centre follows the UNFPA model. It consists of an assessment process conducted over the course of two days handled by independent organizational psychologists and including the following elements: interviews covering career aspirations, engagement with DFS mandate, United Nations core values and competencies, managerial competencies and further exploration of the psychometric results such as role playing, group	The DFS succession management programme introduced in early 2015 is aimed at grooming candidates with high potential, in order to allow the DFS Field Personnel Division to strengthen its succession capacity in all critical areas of mission support leadership positions (P-5 to D-2).

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
ECA		activities, written exercises and presentations. DFS reported that post profiles and/or terms of reference are now produced for every position and always include political, geographic and gender considerations as well as knowledge, skills and competencies required for the position. The key activity for enhancing the selection process for DMS/CMS is the use of the pilot Assessment Centre approach to build a talent pool for D-2 DMS positions.	
	DPI, identified as critical the following positions: Director of Division (D-1); b) Chiefs of Sections (middle management (P-5); c) Professional Officers (P-4 and P-3)		
	No key functions/positions have been identified for succession planning in ECA. However, the focus of succession planning applies primarily to management/leadership (D-1); middle management (P-5); officers (P-4 and P-3); senior level support staff members (G-7).		
UNAIDS	UNAIDS key positions are located in over 90 countries and all have managerial responsibilities. Owing to the importance of work at country level in achieving the objectives of the UNAIDS Strategy, key positions for succession planning are UNAIDS Country Directors, Liaison Office Directors and Regional Directors, in addition to the Director positions at headquarters.		UNAIDS uses internal and external courses to develop its staff members and prepare them for leadership roles. The UNAIDS Leadership Programme for Women was developed jointly with UNSSC.
ITC	ITC does not identify key positions in any way.		

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
UNDP	Putting the emphasis at country level, UNDP considers as key positions the posts of Country Directors (D-1 or P-5 level), Deputy Resident Representatives or Deputy Country Directors (D-1, P-5 or P-4 level), located in country offices. However, once it consolidates succession planning in these positions, it will consider expanding it to positions of operations specialists.	At UNDP, the talent review model used was developed in-house. It uses a combination of independent and corporate assessments, as well as a corporate review of talent for critical management positions. The review of talent is based on five core competencies as well as the candidate's experience The UNDP assessment centre approach is based on best practices observed across United Nations agencies, funds and programmes (i.e., DOCO, UNDP, UNFPA and UNICEF) as well as external organizations. UNDP candidates are assessed by a panel of senior staff in an assessment centre conducted by a procured vendor. The assessment is based on UNDP core competencies and the job profiles of the positions to be filled. The assessment includes group scenario exercises, a technical assessment, a written exercise, 360-degree feedback, an occupational personality questionnaire, and a verbal and numerical reasoning assessment. The focus of this UNDP programme is to identify successors for rotational positions at D-1, P-5 or P-4 level that will become vacant. The model for forming this pool was developed in-house and it took 10 months to be designed. The programme uses a combination of independent and corporate assessments as well as a corporate review of talent for critical management positions. Additionally, the talent profiles used for the selection process serve as a description of skills available in this talent group. Each Candidate Pool cycle will take approximately 3 to 4 months. Nominations for the Candidate Pools are made and endorsed by the nine UNDP Bureau Directors and/or the Deputy Directors. The	In 2015, UNDP introduced a customized approach to leadership development called "The Leadership Development Pathway" based on the 10-20-70 learning formula (see para. 138 above). The leaders targeted are all staff members with supervisory or managerial responsibilities, including national officers, from G-6 to P-5 levels.

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
		results are documented in the Candidate Pool database as well as the archive of assessment. For the UNDP Candidate Pool Programme, the gender strategy lays down strict criteria to ensure that qualified female staff members are among the nominees to the Pools.	
UNFPA	The critical UNFPA posts are the senior posts located in regional and country offices: Representatives (D-1 and P-5), Deputy Representatives (P-5 and P-4) and International Operations Managers (P-5 and P-4). All have managerial responsibilities; the most senior of the roles also have representational responsibilities.	UNFPA issues a call for expression of interest in any of the Leadership Pool roles both internally and externally once a year. Normally, up to 40 candidates who want to join the pool are assessed each year. Once a leader post is identified as becoming vacant, this post vacancy announcement will be circulated to members of the Leadership Pool for them to express interest, and they can be placed at short notice, subject to the approval of the Regional Director, Placement Panel and the Executive Director. It is only if, after several attempts, no candidate can be identified in the pool that a vacancy is published externally. UNFPA candidates for the Leadership Pool undergo comprehensive assessment. The assessment centre includes several components including psychometrics, personality questionnaires, 360-degree feedback, career reflections, interview, case studies, role-play exercises, group work and presentations linked to the job in question. The inclusion of an assessment centre has increased the quality of the overall selection of candidates for the critical roles. For positions that could not be filled with candidates from the leadership pool, ad hoc recruitments and assessments have been done. For ad hoc executive positions, UNFPA uses an executive search firm to identify suitable candidates. For specific selection, whether in the context of the rotation or regular vacancies, the	

Participating organization	STEP A Critical positions and competencies (including [illegible]ion, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
		pool members profile is matched not only to the role but also to the country context. In the selection of candidates for the UNFPA Leadership Pool, the organization is proactive in creating a balance of internal/external candidates, gender, geography, functional diversity and language skills.	
UNHCR	Profiles of UNHCR key positions include Directors and Deputy Directors (D-1 and D-2), as well as Representatives (P-4 to D-2). Specialists and experts are included in key positions but they would typically have some kind of managerial responsibilities.	UNHCR issues biannual compendia, addenda and fast track vacancies for all positions irrespective of the level and seniority. Positions to become vacant are advertised internally, or internally and externally. Once a position is advertised, internal staff members who are expected to rotate apply for positions, and their applications are screened by the Department of Human Resources Management (DHRM) for eligibility and suitability, according to the policy and procedures on assignments. Following a shortlisting process, the shortlisted candidates are then assessed by managers and functional units. DHRM reviews managers' views and functional assessment in order to arrive at a comprehensive match. In case no internal candidates could be matched, DHRM releases external candidates who have applied for externally advertised positions. External candidates are then also assessed by managers and functional units under obligatory interviews, and with the participation of DHRM.	Strategic Leadership programme for staff members at D-1 and D-2 levels
UNICEF	Country representatives (D-1 and D-2) identified via the senior staff rotation and reassignment exercise on an annual basis.	A pilot talent scouting initiative focusing on women and programme country nationals, with a view to assessing and grooming them for leadership posts, is now underway in UNICEF. Talent Groups are populated via three main mechanisms: recommended but not appointed candidates from a regular recruitment process, candidates who have successfully undergone a	

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
		Generic Vacancy Announcement process designed to populate Talent Groups, and staff members serving in hardship duty stations are placed in the respective Talent Groups and are available for direct selection appointment. In UNICEF, there are currently over 830 candidates in talent groups, organized into 32 functional or priority areas, from Adolescent and Youth Development to Water and Sanitation. Talent Groups at the P-3 and P-4 levels represent over 75 per cent of all candidates. UNICEF seeks to maintain diversity and balance in the composition of its Talent Groups – while work remains to achieve gender parity, a balance has been achieved in terms of geographical diversity and internal/external profiles. Applicants have to be assessed as suitable alternate candidates and cleared by the senior staff review group in order to be placed in the talent group.	
UNOPS	UNOPS succession planning is particularly focused on business critical roles which include, but are not limited to, corporate leadership roles and certain functional roles.	UNOPS aims to develop a pool of talented professionals that can be selected for management and leadership roles through its Emerging Leaders Programme, a development programme for staff members with high potential to become leaders.	The UNOPS Emerging Leaders Programme is a 15-month leadership development programme for staff members with high potential for leadership roles. The programme aims: to focus on the development of high performing and high potential personnel, to retain their talent and to support UNOPS strategic plan; to develop a pool of talented professionals that can be selected for management and leadership roles in UNOPS

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
			and to increase the representation of women and personnel from programme countries in UNOPS leadership. Coming from all duty stations of the organization, the 50 participants constitute a diverse and balanced group in terms of gender, nationality and professional background. Following an open invitation to apply, these participants were selected through a competitive process.
UNRWA	UNRWA reported that the Deputy Director posts have been identified as critical owing to their nature and the difficulty in recruiting for them.		
UN-Women	UN-Women identifies positions from P-5 level and above as key positions, particularly the posts of Country Representatives and Heads of Offices/ Sections/ Divisions.		
WFP	The critical posts at WFP are Country Directors (D-2, D-1 and P-5).	At WFP, an initial step was taken in 2014 to review staff members for Country Director posts (D-2, D-1 and P-5), in order to assess their potential and readiness for assuming higher roles. In 2015, the Chief of Talent Deployment and Career Management Branch created a Task Force on Policies with three working groups; one of the working groups focuses on talent reviews. For WFP, the assessment centre experience is quite new. In 2015, they created a working group that focused on assessment centres. The objective of the working group was to compile information on past experiences of UNDP in running the Assessment Centres for Resident Coordinators,	WFP officials stated that their new learning programme is based on the 10-20-70 learning formula (see para. 138 above).

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
		including examples of vendors used for running them, as well as to learn from the experience of the United Nations Secretariat, UNHCR, WHO and UNICEF. The Assessment Centres would start in autumn 2015. During the initial transition period, WFP intends to run one or two rounds of assessment centres and afterwards will run them biannually.	
		Specialized agencies and IAEA	
FAO	For FAO, critical positions are normally the FAO Representatives at country level (P-5 and D-1).	FAO has run a management assessment centre for a number of years to assess the managerial competencies of staff at the P-4 and P-5 levels and above. The purpose of the assessment centre over the past two years has been to: (a) provide a basis for further development and (b) be an element of the selection process to senior positions (D-1 and above) and FAO Representative positions. The management assessment centre was replaced in March 2015 by a Virtual Assessment Review (VAR), which follows the same model. VAR is now part of the promotion and recruitment process for both internal and external candidates. The extension of this process to P-5 positions is currently under consideration. The selected candidates are granted access to an executive coaching programme to act on areas of development identified through the review. In FAO, these mechanisms have not been set up to only fill "key positions", but they can of course be used for this purpose when such key positions are identified and need to be filled. Rosters have been established, in particular for emergency operations (e.g. L-3 crisis) for fast deployment of staff in case of crisis. In addition, recruitment rosters are in place and are populated by candidates (internal	FAO managers (P-2 to P-4 levels) have access to a foundational management programme. Managers at P-5 level and above have a dedicated programme to strengthen their leadership competencies. Both programmes are aligned with the FAO competency framework, which was adopted in 2014.

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
		and external) who have applied to vacancy announcements, been found suitable, short-listed and endorsed by the Director-General but not appointed against that specific post. These rosters are a source of qualified candidates who have expressed an interest in changing functions and who can be appointed against a post in the same functional family during a period of 24 months following their placement on the roster.	
IAEA	IAEA does not identify key positions in any way.		
ICAO	ICAO has added technical and expert roles to the key roles of the organization. In addition to management and leadership role at the P-5 level and above, specialized technical aviation functions, which are either critical for programme delivery and continuity or difficult to replace, as well as some other positions required for business continuity, are considered as key roles. Key positions at ICAO also include the positions of staff members at the most senior level of General Services category (G-7), who perform mission-critical functions and acquire institutional knowledge.	A talent pool is built through the Leadership and Management Development programme, which assists in enhancing the leadership and managerial skills of potential talent, i.e. current technical experts, particularly managers, whose profile is technical and who did not have prior experience in managing/leading resources/personnel. ICAO maintains rosters for specific skills unique to the technical nature of its work (specialized technical aviation specialists; aviation security/safety auditors; precise writing; technical writing; technical editing; translation in the six ICAO languages; etc.).	Strategic Human Resources Succession Planning is part of the Leadership and Management Development training programme developed for ICAO by an academic institution. This strategic training module is intended for senior managers responsible for the analysis of their workforce requirements, for identifying key positions and recommending strategies or measures for their succession. Structured training is not yet offered to individuals to assist them in their preparation to occupy key positions. However, ICAO human resources make available guidance and coaching on career development.

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
ILO	ILO had initially focused on managerial and leadership positions as these positions, if not occupied by high performing individuals, carry grave risks for the Office. In the context of the ILO reform, the list of key positions expanded. In September 2014, the Director-General issued a memorandum on ILO field operations clarifying the roles and responsibilities of a number of key senior managers and technical specialists across the Office, as aligned with the new priorities of the Office. In addition to the ILO core competencies, the Organization included in its managers' job descriptions a section on the competencies required at the managerial level.	In ILO, the system of "calls for expression of interest" for filling managerial and leadership positions de facto constitutes a depository with candidates potentially interested in such positions, and is used at the time new calls are advertised, as candidates to previous calls may be contacted by human resources to encourage them to apply/re-apply. As part of this process candidates go through a rigorous high-level assessment centre assessing them against the ILO core competencies at the managerial level. A comprehensive report and a debrief are provided to internal candidates after their assessment to best identify learning gaps and possible training/coaching/remedying strategies. The new electronic "Employee Profile" tool for skills mapping and workforce planning, which was launched as part of the Office's talent management suite "ILO People", comprises a full taxonomy of ILO key areas of expertise, as a kind of skills inventory.	ILO has introduced an executive leadership programme together with UNSSC and ITC-ILO. As part of the ILO functional mobility portal, staff can express interest in a range of positions including key positions. ILO staff can express their interest in geographical and functional mobility as part of their career and development aspirations. Going forward this information will be used to target development activities as appropriate.
IMO	IMO specified that most of its key positions are at P-5 level and above, plus some specialist posts. All key positions are located at the headquarters.		
ITU	ITU has listed as leadership roles those of Senior Counsellors (at P-5 and D-2 levels), who all have managerial responsibilities. ITU previously did not have a competency framework, but has recently established one, which is about to be implemented. In addition to the core competencies, it plans to establish a catalogue of job-oriented competencies (competencies linked to the job description of a post).		

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
UNESCO	At UNESCO, key positions include Director and positions above that level, both at headquarters and in the field (D-1 to ADG level), including Directors (D-1 and D-2 levels) and Heads (P-5 level) of Field Offices as well as Institute posts (D-1 and D-2 levels). All these posts are mission-critical and require solid, and for the higher levels, extensive managerial skills and experience. Finance and Administrative Officer posts in the Field Offices are also considered as key positions (from P-2 to P-4 level).		
UNIDO	Key positions involve the following functions at the headquarters: Director General, Chief Executive Officer, Managing Directors, Strategic Management and Leadership (D-2), Branch Directors – Strategic Management of Thematic Areas (D-1), Chiefs of Units (managers P-5). The key positions away from the UNIDO headquarters are those of: Directors of Regional Offices (D-1) and Representatives of Country Offices (P-5). Some UNIDO specialist positions (P-2 to P-4) with supervisory responsibilities based at the headquarters are also considered key positions. Some support staff members both at UNIDO headquarters and in the field also have key positions		
UNWTO	UNWTO does not identify key positions in any way.		
UPU	UPU does not identify key positions in any way.		

Participating organization	STEP A Critical positions and competencies (including location, category and level)	STEP B Talent reviews, assessment centres and pools (including talent groups, lists, benches and pipelines)	STEP C Learning and leadership programmes
WHO	WHO does not identify key positions in any way.	WHO uses a roster of heads of Country Offices. Staff members have to be prequalified in order to be listed in the roster. For this reason, staff members go through an elaborate assessment centre which screens and selects the candidates with the right profile for such a position.	WHO representatives admitted that the organization cannot afford to create a training programme for developing successors. Therefore, the officials in charge of training are interested in exploring possibilities for partnership with UNSSC.
WIPO	In their response to the questionnaire, WIPO officials insisted that they do not focus so much on key positions but rather on key skill requirements, notably examination skills, combined with specific language skills (such as Asian languages).		WIPO is currently conducting a pilot programme to support talented women with high performance ratings and managerial responsibilities, in order to increase their chances of being selected for higher positions, and thus to improve the current gender balance at senior positions.
WMO	WMO does not identify key positions in any way.		

Annex IV

Overview of actions to be taken by participating organizations on the recommendations of the Joint Inspection Unit

JIU/REP/2016/2

		Intended impact		United Nations, its funds and programmes									Other bodies and entities						Specialized agencies and IAEA											
			CEB	United Nations*	ITC	UNDP	UNEP	UNFPA	UN-Habitat	UNICEF	UNODC	WFP	UNAIDS	UNCTAD	UNHCR	UNOPS	UNRWA	UN-Women	FAO	IAEA	ICAO	ILO	IMO	ITU	UNESCO	UNIDO	UNWTO	UPU	WHO	WIPO	WMO
Report	For action		☒	☒	☐	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒
	For information		☐	☐	☒	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Recommendation 1		a, e		L		L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L	L
Recommendation 2		f		E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E
Recommendation 3		b, f, h		E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E
Recommendation 4		b, d	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E

Legend: L: Recommendation for decision by legislative organ E: Recommendation for action by executive head

■ : Recommendation does not require action by this organization

Intended impact: a: enhanced transparency and accountability b: dissemination of good/best practices c: enhanced coordination and cooperation d: strengthened coherence and harmonization e: enhanced control and compliance f: enhanced effectiveness g: significant financial savings h: enhanced efficiency i: other.

* As listed in ST/SGB/2015/3.